



# **Consolidated Procedures for the technical work of ISO**

... a text comprising ...

**ISO/IEC Directives, Part 1,**  
4th edition

**ISO Supplement**  
1st edition

**ISO Change Notifications**  
All current texts

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In this document, text originating from the ISO Supplement is indicated by shading

**HYPERLINKS**

To facilitate use of the electronic versions of the ISO Supplement, including the consolidated text, links have been included to permit rapid viewing of referenced material. Such links are [indicated in blue](#).

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## Foreword

The **ISO/IEC Directives** are published in two parts <sup>1)</sup>:

- Part 1: Procedures for the technical work
- Part 2: Rules for the structure and drafting of International Standards

Furthermore, ISO and IEC have published independent supplements to these parts, which include procedures that are not common to the two organizations. All forms related to the process of standards development are given in the respective Supplements to the ISO/IEC Directives.

This part sets out the procedures to be followed within the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) in carrying out their technical work: primarily the development and maintenance of International Standards through the activities of technical committees and their subsidiary bodies. ISO/IEC JTC 1 has procedures that differ in part from those applicable to other committees in ISO and IEC.

Both ISO and IEC provide additional guidance and tools to all those concerned with the preparation of technical documents on their respective websites ([www.iso.ch/sdis](http://www.iso.ch/sdis) and [www.iec.ch](http://www.iec.ch)).

This fourth edition incorporates changes agreed by the respective technical management boards since publication of the third edition in 1995. Changes which been adopted in only one of the organizations are being published separately in the ISO Supplement or the IEC Supplement to the ISO/IEC Directives, respectively. The Supplements are to be used in conjunction with this document.

ISO/IEC Directives, 2001	together with	cancels and replaces
Part 1 (4th edition)	ISO Supplement, 2001 (1st edition) IEC Supplement, 2001 (1st edition)	ISO/IEC Directives, 1995, Part 1 (3rd edition) Amendment 1, 1997, to ISO/IEC Directives, 1995, Part 1 (3rd edition)
Part 2 (4th edition)	—	ISO/IEC Directives, Part 3, 1997 (2nd edition)
	ISO/IEC Directives, Part 1, 2001 (4th edition) ISO Supplement, 2001 (1st edition) IEC Supplement, 2001 (1st edition)	ISO/IEC Directives, Part 2, 1992 (2nd edition) Amendment 1, 1995, to ISO/IEC Directives, Part 2, 1992 (2nd edition)
ISO and IEC Supplements (1st edition)	ISO/IEC Directives, Part 1, 2001 (4th edition)	ISO/IEC Directives, 1995, Part 1 (3rd edition) Amendment 1, 1997, to ISO/IEC Directives, 1995, Part 1 (3rd edition)

NOTE 1 This new edition of Part 1 has been structurally rearranged in order to align with the ISO/IEC Directives, Part 2, wherever possible. This means that the order of the annexes has been changed — they now appear in the order in which they are referenced in the body of the text.

The principal changes with respect to the previous edition are:

- a) inclusion of Technical Specifications and Publicly Available Specifications and modification of the approval criteria (see 3.1 and 3.2);
- b) procedures relating to deliverables other than standards moved into the main body of the Directives (Clause 3);

<sup>1)</sup> The contents of the former Part 2: Methodology for the development of International Standards, have been partially incorporated into these revised fourth editions of Parts 1 and 2.



- c) addition of category D liaisons (see 1.17)
- d) strategic policy statement renamed as strategic plan (see 2.1.2);
- e) possibility of bypassing the approval stage (see 2.6.4b);
- f) inclusion of rules relating to patented items, see 2.14 (from ISO/IEC Directives, Part 2, 1992, Amendment 1);
- g) procedures for liaison and work allocation (see Annex B);
- h) justification of proposals for the establishment of standards, see Annex C (from ISO/IEC Directives, Part 1, 1995, Amendment 1, formerly ISO Guide 26:1981).

These procedures have been established by ISO and IEC in recognition of the need for International Standards to be cost-effective and timely, as well as widely recognized and generally applied. In order to attain these objectives, the procedures are based on the following concepts.

#### **a) Modern technology and programme management**

Within the framework of these procedures, the work may be accelerated and the task of experts and secretariats facilitated both by progressive introduction of new technologies and modern programme management methods.

#### **b) Consensus**

Consensus, which requires the resolution of substantial objections, is an essential procedural principle and a necessary condition for the preparation of International Standards that will be accepted and widely used. Although it is necessary for the technical work to progress speedily, sufficient time is required before the approval stage for the discussion, negotiation and resolution of significant technical disagreements.

#### **c) Discipline**

National bodies need to ensure discipline with respect to deadlines and timetables in order to avoid long and uncertain periods of "dead time". Similarly, to avoid rediscussion, national bodies have the responsibility of ensuring that their technical standpoint is established taking account of all interests concerned at national level, and that this standpoint is made clear at an early stage of the work rather than, for example, at the final (approval) stage. Moreover, national bodies need to recognize that substantial comments tabled at meetings are counter-productive, since no opportunity is available for other delegations to carry out the necessary consultations at home, without which rapid achievement of consensus will be difficult.

#### **d) Cost-effectiveness**

These procedures take account of the total cost of the operation. The concept of "total cost" includes direct expenditure by national bodies, expenditure by the offices in Geneva (funded mainly by the dues of national bodies), travel costs and the value of the time spent by experts in working groups and committees, at both national and international level.

NOTE 2 Wherever appropriate in this document, for the sake of brevity the following terminology has been adopted to represent similar or identical concepts within ISO and IEC.

Term	ISO	IEC
national body	member body (MB)	National Committee (NC)
technical management board (TMB)	Technical Management Board (ISO/TMB)	Committee of Action (CA)
Chief Executive Officer (CEO)	Secretary-General	General Secretary
office of the CEO	Central Secretariat (CS)	Central Office (CO)
council board	Council	Council Board (CB)
advisory group	Technical Advisory Group (TAG)	Advisory Committee
strategic plan	business plan (BP)	strategic policy statement (SPS)
For other concepts, ISO/IEC Guide 2 refers.		

NOTE 3 In addition the following abbreviations are used in this document.

<b>JTAB</b>	Joint Technical Advisory Board
<b>JCG</b>	Joint Coordination Group
<b>JWG</b>	joint working group
<b>TC</b>	technical committee
<b>SC</b>	subcommittee
<b>WG</b>	working group
<b>PT</b>	project team
<b>PWI</b>	preliminary work item
<b>NP</b>	new work item proposal
<b>WD</b>	working draft
<b>CD</b>	committee draft
<b>DIS</b>	draft International Standard (ISO)
<b>CDV</b>	committee draft for vote (IEC)
<b>FDIS</b>	final draft International Standard
<b>PAS</b>	Publicly Available Specification
<b>TS</b>	Technical Specification
<b>TR</b>	Technical Report

## Introduction (ISO Supplement)

### 0.1 What is the *ISO Supplement*?

The ISO/IEC Directives define the basic procedures to be followed in the development of International Standards and other publications. An important aspect of the preparation of the [4th edition of the ISO/IEC Directives](#) in 2001 was the separation out of the common procedures of ISO and IEC from those procedures unique to one or other organization. The former — the “common” — procedures remain as the ISO/IEC Directives, whereas the unique procedures (a concrete example being the various forms) are now in separate Supplements. This current document is the Supplement describing procedures specific to ISO (called below the *ISO Supplement*).

Part 1 of the ISO/IEC Directives, together with this Supplement, provide the complete set of procedural rules to be followed by ISO committees. There are, however, other documents to which reference may need to be made. In particular, for committees cooperating with CEN under the Agreement on technical cooperation between ISO and CEN (Vienna Agreement), reference should be made to the [Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN](#).

Attention is also drawn to the fact that these procedures do not apply to ISO/IEC JTC 1, for which reference should be made to the [ISO/IEC Directives, Procedures for the technical work of ISO/IEC JTC 1 on Information technology](#).

Additionally, it is recalled that, following a decision of the ISO Council, a new type of document, the International Workshop Agreement (IWA), has been introduced. Such documents are developed outside of ISO committee structures. The rules for developing IWA are given in [Annex SR](#).

Finally, it is to be noted that ISO also publishes [Technology Trends Assessments \(TTA\)](#). Such documents may be developed by pre-standardization research organizations with which ISO has a cooperation agreement, or may be developed in pre-standardization workshops. In each case, the TMB approves publication of a TTA.

### 0.2 Relationship of the *ISO Supplement* to ISO/IEC Directives

This edition of the *ISO Supplement* complements the 4th edition of the *ISO/IEC Directives*, as published in 2001. It does not replace that document, but rather is to be applied in conjunction with that document.

### 0.3 The structure of the *ISO Supplement*

The clause structure of the *ISO Supplement* follows that of Part 1 of the *ISO/IEC Directives* to the first subclause level, e.g. to the level of 1.7, 2.1, etc., in order to assist in cross-relating the texts. If there are no comments (see, for example subclause 1.13), it means that there are no ISO-specific requirements or recommendations.

The annexes in the *ISO Supplement* are all unique to this Supplement and do not follow the order in the *ISO/IEC Directives*. Where a reference is to an annex in the *ISO/IEC Directives, Part 1, 2001* themselves, this is indicated by an explicit reference.

#### 0.4 ISO Change Notifications

ISO has instigated a system whereby agreements of the Technical Management Board that result in changes to procedures will be notified to ISO members and committees as soon as possible as ISO Change Notifications. Some of these will lead to changes in the basic document, the *ISO/IEC Directives* themselves, others will up-date the *ISO Supplement*. It is recommended that ISO Change Notifications are kept with the *ISO Supplement* until they are superseded. The table at the end of this foreword may be used as a convenient place to list current Change Notifications.

#### 0.5 Obtaining the *ISO Supplement*

An electronic version of the *ISO Supplement* is available and is regularly up-dated. It includes all current ISO Change Notifications changes, and therefore is more up-to-date than this printed version. It is available to review or download in electronic format. In addition, for ease of reference, a composite document comprising both the ISO/IEC Directives, Part 1 and the *ISO Supplement*, and where appropriate with links to related material, is maintained, in electronic format only. All documents in electronic format, including the ISO/IEC Directives, can be downloaded from the Standards Developers' Information Site (see [Annex SA](#)). The *ISO/IEC Directives* and *ISO Supplement* are also available via the direct URL <http://www.iso.ch/sdis/directives>.

In the main body of the text reference is made to certain guidance documents. Authorised users may obtain these via the Standards Developers' Information Site (SDIS) (see also [Annex SA](#)).

#### 0.6 Contact information for the *ISO Supplement*

Comments or questions on the *ISO Supplement* should be referred to:

**Technical Management Board Secretariat**  
**International Organization for Standardization**  
1, rue de Varembe  
Case postale 56  
CH-1211 Genève 20  
Telephone: +41 22 749 01 11  
Telefax: +41 22 733 34 30  
Internet: [tmb@iso.ch](mailto:tmb@iso.ch)

## Listing of ISO Change Notifications

(Optional — For completion by user of the ISO Supplement. [A detailed listing of ISO Change Notifications is available](#))

[illegible]

## **1 Organizational structure and responsibilities for the technical work**

### **1.1 Role of the technical management board**

The technical management board of the respective organization is responsible for the overall management of the technical work and in particular for:

- a) establishment of technical committees;
- b) appointment of chairmen of technical committees;
- c) allocation or re-allocation of secretariats of technical committees and, in some cases, subcommittees;
- d) approval of titles, scopes and programmes of work of technical committees;
- e) ratification of the establishment and dissolution of subcommittees by technical committees;
- f) allocation of priorities, if necessary, to particular items of technical work;
- g) coordination of the technical work, including assignment of responsibility for the development of standards regarding subjects of interest to several technical committees, or needing coordinated development; to assist it in this task, the technical management board may establish advisory groups of experts in the relevant fields to advise it on matters of basic, sectoral and cross-sectoral coordination, coherent planning and the need for new work;
- h) monitoring the progress of the technical work with the assistance of the office of the CEO, and taking appropriate action;
- i) reviewing the need for, and planning of, work in new fields of technology;
- j) maintenance of the ISO/IEC Directives and other rules for the technical work;
- k) consideration of matters of principle raised by national bodies, and of appeals concerning decisions on new work item proposals, on committee drafts, on enquiry drafts or on final draft International Standards.

NOTE Explanations of the terms new work item proposal, committee draft, enquiry draft and final draft International Standard are given in Clause 2.

### **1.2 Advisory Groups to the technical management board**

**1.2.1** A group having advisory functions in the sense of 1.1 g) may be established

- a) by one of the technical management boards;
- b) jointly by the two technical management boards.

NOTE In IEC certain such groups are designated as Advisory Committees.

**1.2.2** A proposal to establish such a group shall include recommendations regarding its terms of reference and constitution, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. For example, it may be decided that its members be only the chairmen and secretaries of the technical committees concerned. In every case, the TMB(s) shall decide the criteria to be applied and shall appoint the members.

Any changes proposed by the group to its terms of reference, composition or, where appropriate, working methods shall be submitted to the technical management boards for approval.

**1.2.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents unless specifically authorized by the TMB(s).

**1.2.4** Any document being prepared with a view to publication shall be developed in accordance with the procedural principles given in Annex A.

**1.2.5** The results of such a group shall be presented in the form of recommendations to the TMB(s). The recommendations may include proposals for the establishment of a working group (see 1.11) or a joint working group (see 1.11.5) for the preparation of publications. Such working groups shall operate within the relevant technical committee, if any.

**1.2.6** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the office(s) of the CEO(s).

**1.2.7** Such a group shall be disbanded once its specified tasks have been completed, or if it is subsequently decided that its work can be accomplished by normal liaison mechanisms (see 1.16).

### **1.3 Joint technical work**

#### **1.3.1 Joint Technical Advisory Board (JTAB)**

The JTAB has the task of avoiding or eliminating possible or actual overlapping in the technical work of ISO and IEC and acts when one of the two organizations feels a need for joint planning. The JTAB deals only with those cases that it has not been possible to resolve at lower levels by existing procedures. (See Annex B.) Such cases may cover questions of planning and procedures as well as technical work.

Decisions of the JTAB are communicated to both organizations for immediate implementation. They shall not be subject to appeal for at least 3 years.

#### **1.3.2 Joint technical committees**

Joint technical committees may be established by a common decision of the ISO/TMB and IEC Committee of Action, or by a decision of the JTAB.

### **1.4 Role of the Chief Executive Officer**

The Chief Executive Officer of the respective organization is responsible, *inter alia*, for implementing the ISO/IEC Directives and other rules for the technical work. For this purpose, the office of the CEO arranges all contacts between the technical committees, the council board and the technical management board.

Deviations from the procedures set out in the present document shall not be made without the authorization of the Chief Executive Officers of ISO or IEC, or the authorization of the ISO/IEC Joint Technical Advisory Board (JTAB).

### **1.5 Establishment of technical committees**

**1.5.1** Technical committees are established and dissolved by the technical management board.

**1.5.2** The technical management board may transform an existing subcommittee into a new technical committee, following consultation with the technical committee concerned.

**1.5.3** A proposal for work in a new field of technical activity which appears to require the establishment of a new technical committee may be made in the respective organization by

- a national body;
- a technical committee or subcommittee;
- a policy level committee;

- the technical management board;
- the Chief Executive Officer;
- a body responsible for managing a certification system operating under the auspices of the organization;
- another international organization with national body membership.

**1.5.4** The proposal shall be made using the appropriate form (see the respective Supplements to the ISO/IEC Directives), which covers

- a) the proposer;
- b) the subject proposed;
- c) the scope of the work envisaged and the proposed initial programme of work;
- d) a justification for the proposal;
- e) if applicable, a survey of similar work undertaken in other bodies;
- f) any liaisons deemed necessary with other bodies.

The form shall be submitted to the office of the CEO.

For details relating to justification of the proposal, see C.4.

**1.5.5** The Chief Executive Officer shall consult interested parties, including the Chairman of the technical management board, immediately after such a proposal is received. If necessary, an ad hoc group may be established to examine the proposal.

Any comments and recommendations by the Chief Executive Officer resulting from the consultations shall be added to the proposal form.

**1.5.6** The proposal shall be circulated by the office of the CEO to all national bodies of the respective organization (ISO or IEC), asking whether or not they

- a) support the establishment of a new technical committee, and
- b) intend to participate actively (see 1.7.1) in the work of the new technical committee.

The proposal shall also be submitted to the other organization (IEC or ISO) for comment and for agreement (see Annex B).

The replies to the proposal shall be made using the appropriate form within 3 months after circulation.

**1.5.7** The technical management board evaluates the replies and either

- decides the establishment of a new technical committee, provided that
  - 1) a 2/3 majority of the national bodies voting are in favour of the proposal, and
  - 2) at least 5 national bodies have expressed their intention to participate actively, and allocates the secretariat (see 1.9.1), or
- assigns the work to an existing technical committee, subject to the same criteria of acceptance.

**1.5.8** Technical committees shall be numbered in sequence in the order in which they are established. If a technical committee is dissolved, its number shall not be allocated to another technical committee.

**1.5.9** As soon as possible after the decision to establish a new technical committee, the necessary liaisons shall be arranged (see 1.15 to 1.17).



**1.5.10** A new technical committee shall agree on its title and scope as soon as possible after its establishment, preferably by correspondence. The scope is a statement precisely defining the limits of the work of a technical committee.

The definition of the scope of a technical committee shall begin with the words "Standardization of ..." or "Standardization in the field of ..." and shall be drafted as concisely as possible. Scopes of technical committees shall not refer to the general aims of international standardization or repeat the principles that govern the work of all technical committees. Should it be necessary to specify that certain questions are outside the scope of the technical committee, these questions shall be listed at the end of the scope and be introduced by the word "Excluded: ...".

For recommendations on scopes, see the IEC Supplement to the ISO/IEC Directives, 2001, Clause 2 and Annex A, and ISO Supplement to the ISO/IEC Directives, 2001, [Annex SB](#).

[Annex SB](#) describes requirements for formulating the scope of a technical committee.

**1.5.11** The agreed title and scope shall be submitted by the Chief Executive Officer to the technical management board for approval.

**1.5.12** The technical management board or a technical committee may propose a modification of the latter's title and/or scope. The modified wording shall be established by the technical committee for approval by the technical management board.

## **1.6 Establishment of subcommittees**

**1.6.1** Subcommittees are established and dissolved by the parent technical committee, subject to ratification by the technical management board. A subcommittee may be established only on condition that a national body has expressed its readiness to undertake the secretariat.

**1.6.2** At the time of its establishment, a subcommittee shall comprise at least 5 members of the parent technical committee having expressed their intention to participate actively (see 1.7.1) in the work of the subcommittee.

**1.6.3** Subcommittees of a technical committee shall be designated in sequence in the order in which they are established. If a subcommittee is dissolved, its designation shall not be allocated to another subcommittee, unless the dissolution is part of a complete restructuring of the technical committee.

**1.6.4** The title and scope of a subcommittee shall be defined by the parent technical committee and shall be within the defined scope of the parent technical committee.

**1.6.5** The secretariat of the parent technical committee shall inform the office of the CEO of the decision to establish a subcommittee, using the appropriate form. The office of the CEO shall submit the form to the technical management board for ratification of the decision.

**1.6.6** As soon as possible after ratification of the decision to establish a new subcommittee, any liaisons deemed necessary with other bodies shall be arranged (see 1.15 to 1.17).

[Annex SB](#) describes requirements for formulating the scope of a subcommittee.

## **1.7 Participation in the work of technical committees and subcommittees**

**1.7.1** All national bodies have the right to participate in the work of technical committees and subcommittees.

In order to achieve maximum efficiency and the necessary discipline in the work, each national body shall clearly indicate to the office of the CEO, with regard to each technical committee or subcommittee, if it intends

- to participate actively in the work, with an obligation to vote on all questions formally submitted for voting within the technical committee or subcommittee, on enquiry drafts and final draft International Standards, and to participate in meetings (**P-members**), or
- to follow the work as an observer, and therefore to receive committee documents and to have the right to submit comments and to attend meetings (**O-members**).

A national body may choose to be neither P-member nor O-member of a given committee, in which case it will have neither the rights nor the obligations indicated above with regard to the work of that committee. Nevertheless, all national bodies irrespective of their status within a technical committee or subcommittee have the right to vote on enquiry drafts (see 2.6) and on final draft International Standards (see 2.7).

National bodies have the responsibility to organize their national input in an efficient and timely manner, taking account of all relevant interests at their national level.

**1.7.2** Membership of a subcommittee is open to P- and O-members of the parent technical committee. O-members of a technical committee may be granted P-membership in a subcommittee without changing their status in the parent technical committee.

Members of a technical committee shall be given the opportunity to notify their intention to become a P- or O-member of a subcommittee at the time of its establishment.

Membership of a technical committee does not imply automatic membership of a subcommittee; notification is required of the intended status of any interested member of the technical committee.

**1.7.3** A national body may, at any time, begin or end membership or change its membership status in any technical committee or subcommittee by informing the office of the CEO and the secretariat of the committee concerned.

**1.7.4** A technical committee or subcommittee secretariat shall notify the Chief Executive Officer if a P-member of that technical committee or subcommittee

- has been persistently inactive and has failed to make a contribution to 2 consecutive meetings, either by direct participation or by correspondence,
- or has failed to vote on questions submitted for voting within the technical committee or subcommittee (such as new work item proposals).

Upon receipt of such a notification, the Chief Executive Officer shall remind the national body of its obligation to take an active part in the work of the technical committee or subcommittee. In the absence of a satisfactory response to this reminder, the national body shall automatically have its status changed to that of O-member. A national body having its status so changed may, after a period of 12 months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

**1.7.5** If a P-member of a technical committee or subcommittee fails to vote on an enquiry draft or final draft International Standard prepared by the respective committee, the Chief Executive Officer shall remind the national body of its obligation to vote. In the absence of a satisfactory response to this reminder, the national body shall automatically have its status changed to that of O-member. A national body having its status so changed may, after a period of twelve months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

## 1.8 Chairmen of technical committees and subcommittees

### 1.8.1 Appointment

For the appointment of chairmen, see the IEC Supplement to the ISO/IEC Directives, 2001, Clause 3 and ISO Supplement to the ISO/IEC Directives, 2001, 1.8.

The Chairman of a TC is nominated by the secretariat of the TC, and approved by the Technical Management Board. The Chairman of an SC is nominated by the secretariat of the SC, and approved by the technical committee.

Duration of initial appointment: Maximum of six years

Extensions of term: Maximum of three years

Maximum number of extensions: No limit specified

Each extension needs to be approved by the parent committee.

### 1.8.2 Responsibilities

The chairman of a technical committee is responsible for the overall management of that technical committee, including any subcommittees and working groups. He shall advise the technical management board on important matters relating to that technical committee via the technical committee secretariat. For this purpose he shall receive reports from the chairmen of any subcommittees via the subcommittee secretariats.

The chairman of a technical committee or subcommittee shall

- a) act in a purely international capacity, divesting him- or herself of a national point of view; thus he/she cannot serve concurrently as the delegate of a national body in his own committee;
- b) guide the secretary of that technical committee or subcommittee in carrying out his duty;
- c) conduct meetings with a view to reaching agreement on committee drafts (see 2.5);
- d) ensure at meetings that all points of view expressed are adequately summed up so that they are understood by all present;
- e) ensure at meetings that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;
- f) take appropriate decisions at the enquiry stage (see 2.6).

In case of unforeseen unavailability of the chairman at a meeting, a session chairman may be elected by the participants.

A summary of the responsibilities of a chairman is given in [Annex SC](#).

## 1.9 Secretariats of technical committees and subcommittees

### 1.9.1 Allocation

The secretariat of a technical committee shall be allocated to a national body by the technical management board.

The secretariat of a subcommittee shall be allocated to a national body by the parent technical committee. However, if two or more national bodies offer to undertake the secretariat of the same subcommittee, the technical management board shall decide on the allocation of the subcommittee secretariat.

For both technical committees and subcommittees, the secretariat shall be allocated to a national body only if that national body

- a) has indicated its intention to participate actively in the work of that technical committee or subcommittee, and
- b) has accepted that it will fulfil its responsibilities as secretariat and is in a position to ensure that adequate resources are available for secretariat work (see D.2).

Once the secretariat of a technical committee or subcommittee has been allocated to a national body, the latter shall appoint a qualified individual as secretary (see D.1).

TC/SC secretariats, at intervals of 5 years, shall normally be subject to reconfirmation by the Technical Management Board.

If, during a year when a particular TC/SC secretariat is due for reconfirmation, TC/SC productivity data show the committee to be experiencing difficulties, this will be drawn to the attention of the Technical Management Board for decision as to whether a reconfirmation enquiry should be conducted. The allocation of those secretariats not notified for detailed examination will be reconfirmed automatically.

A reconfirmation enquiry may also be initiated at any time at the request of the Secretary-General or of a P-member of a committee. Such requests shall be accompanied by a written justification and shall be considered by the Technical Management Board which will decide whether to conduct a reconfirmation enquiry.

The enquiry shall be conducted amongst the P-members of the committee to determine whether the P-members are satisfied that sufficient resources are available to the secretariat and that the performance of the secretariat is satisfactory. Any P-member responding negatively shall be invited to indicate whether it is willing itself to accept the secretariat of the committee.

The enquiry shall be conducted by the Technical Management Board in the case of TC secretariats, and by TC secretariats in the case of SC secretariats. However, in cases where the same member body holds both the TC and SC secretariat, the enquiry shall be conducted by the Technical Management Board.

If there are no negative responses, the secretariat allocation shall be reconfirmed. All negative responses concerning both TC and SC secretariats shall be referred to the Technical Management Board for decision.

### 1.9.2 Responsibilities

The national body to which the secretariat has been allocated shall ensure the provision of technical and administrative services to its respective technical committee or subcommittee. The secretariat is responsible for monitoring, reporting, and ensuring active progress of the work, and shall use its utmost endeavour to bring this work to an early and satisfactory conclusion. These tasks shall be carried out as far as possible by correspondence.

The secretariat is responsible for ensuring that the ISO/IEC Directives and the decisions of the council board and the technical management board are followed.

The secretariat shall ensure the timely execution of the following:

- a) preparation of committee drafts, arranging for their distribution (see IEC Supplement to the ISO/IEC Directives, 2001, Annex D and ISO Supplement to the ISO/IEC Directives, 2001, Annex SF) and the treatment of the comments received;
- b) preparation of meetings (see also Clause 4), including
  - establishment of the agenda and arranging for its distribution;

- arranging for the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting (see E.5);
  - preparation of compilations of comments on documents which appear on the agenda;
- c) recording of decisions taken in a meeting and making these decisions available in writing for confirmation during the meeting (see E.5);
- d) preparation of the minutes of meetings;
- e) preparation of reports to the technical management board (TC secretariat), or to the parent committee (SC secretariat);
- f) preparation of enquiry drafts and final draft International Standards.

The secretariat of a technical committee or subcommittee is responsible for ensuring the equivalence of the English and French texts, if necessary with the assistance of other national bodies that are able and willing to take responsibility for the language versions concerned. (See also 1.10 and the respective Supplements to the ISO/IEC Directives.)

In all circumstances, each secretariat shall work in close liaison with the chairman of its technical committee or subcommittee.

A secretariat shall act in a purely international capacity, divesting itself of a national point of view.

The secretariat of a technical committee shall maintain close contact with the office of the CEO and with the members of the technical committee regarding its activities, including those of its subcommittees and working groups.

The secretariat of a subcommittee shall maintain close contact with the secretariat of the parent technical committee and as necessary with the office of the CEO. It shall also maintain contact with the members of the subcommittee regarding its activities, including those of its working groups.

The secretariat of a technical committee or subcommittee shall update in conjunction with the office of the CEO the record of the status of the membership of the committee and maintain a register of the membership of its working groups.

A summary of the responsibilities of a secretary/secretariat is given in [Annex SD](#).

### **1.9.3 Change of secretariat of a technical committee**

If a national body wishes to relinquish the secretariat of a technical committee, the national body concerned shall immediately inform the Chief Executive Officer, giving a minimum of 12 months notice. The technical management board decides on the transfer of the secretariat to another national body.

If the secretariat of a technical committee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a national body may have the matter placed before the technical management board, which may review the allocation of the secretariat with a view to its possible transfer to another national body.

### **1.9.4 Change of secretariat of a subcommittee**

If a national body wishes to relinquish the secretariat of a subcommittee, the national body concerned shall immediately inform the secretariat of the parent technical committee, giving a minimum of 12 months notice.

If the secretariat of a subcommittee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a national body may have the matter placed before the parent technical committee, which may decide, by majority vote of the P-members, that the secretariat of the subcommittee should be re-allocated.

In either of the above cases an enquiry shall be made by the secretariat of the technical committee to obtain offers from other P-members of the subcommittee for undertaking the secretariat.

If two or more national bodies offer to undertake the secretariat of the same subcommittee or if, because of the structure of the technical committee, the re-allocation of the secretariat is linked with the re-allocation of the technical committee secretariat, the technical management board decides on the re-allocation of the subcommittee secretariat. If only one offer is received, the parent technical committee itself proceeds with the appointment.

### 1.10 Editing committees

It is recommended that committees establish one or more editing committees for the purpose of updating and editing committee drafts, enquiry drafts and final draft International Standards and for ensuring their conformity to the [ISO/IEC Directives, Part 2](#) (see also 2.6.6).

Such committees should comprise at least

- one technical expert of English mother tongue and having an adequate knowledge of French;
- one technical expert of French mother tongue and having an adequate knowledge of English;
- the project leader (see 2.1.8).

The project leader and/or secretary may take direct responsibility for one of the language versions concerned.

In IEC, a representative of the office of the CEO will attend editing committee meetings if required.

Editing committees shall meet when required by the respective technical committee or subcommittee secretariat for the purpose of updating and editing drafts which have been accepted by correspondence for further processing.

Editing committees shall be equipped with means of processing texts electronically and of providing the finalized texts in machine-readable form (see also 2.6.6).

A summary of the responsibilities of a member of an editing committee is given in [Annex SE](#).

### 1.11 Working groups

**1.11.1** Technical committees or subcommittees may establish working groups for specific tasks (see 2.4). A working group shall report to its parent technical committee or subcommittee through a convenor appointed by the parent committee.

A working group comprises a restricted number of experts individually appointed by the P-members, A-liaisons of the parent committee and D-liaison organizations, brought together to deal with the specific task allocated to the working group. The experts act in a personal capacity and not as the official representative of the P-member or A- or D-liaison organization (see 1.17) by which they have been appointed. However, it is recommended that they keep close contact with that P-member or organization in order to inform them about the progress of the work and of the various opinions in the working group at the earliest possible stage.

It is recommended that working groups be reasonably limited in size. The technical committee or subcommittee may therefore decide upon the total number of experts and also upon the maximum number of experts appointed by each P-member.

A summary of the responsibilities of a convenor is given in [Annex SE](#).

Once the decision to set up a working group has been taken, P-members and A- and D-liaison organizations shall be officially informed in order to appoint expert(s).

Working groups shall be numbered in sequence in the order in which they are established.

When a committee has decided to set up a working group, the convenor or acting convenor shall immediately be appointed and shall arrange for the first meeting of the working group to be held within 3 months. This information shall be communicated immediately after the committee meeting to the P-members of the committee and A- and D-liaison organizations, with an invitation to appoint experts within 6 weeks.

Distribution of the internal documents of a working group and of its reports shall be carried out in accordance with [Annex SF](#).

**1.11.2** The composition of a working group (names, addresses, phone and fax numbers and e-mail addresses) shall be made available by the committee secretary to the working group convenor prior to the first meeting of the working group. The names of the members may also be made available to the other members and the members of the parent committee..

**1.11.3** On completion of its task(s) — normally at the end of the enquiry stage (see 2.6) — the working group shall be disbanded, the project leader remaining with consultant status until completion of the publication stage (see 2.8).

**1.11.4** Distribution of the internal documents of a working group and of its reports shall be carried out in accordance with procedures described in the IEC Supplement to the Directives, 2001, Annex D and the ISO Supplement to the Directives, 2001, [Annex SF](#).

**1.11.5** In special cases a joint working group (JWG) may be established to undertake a specific task in which more than one ISO and/or IEC technical committee or subcommittee is interested. For administrative purposes the joint working group shall be placed under one of the parent committees, nominated by mutual agreement. A proposal to establish a joint ISO/IEC working group, including clear recommendations on which organization is responsible for final publication and subsequent maintenance of the publication, shall be submitted for approval to the technical management boards (see also B.4.2.4).

## **1.12 Project teams**

In the IEC, during the process of approving a new work item (see 2.3), P-members approving the work item are required to appoint experts able to participate in the development of the project. In IEC, these experts form a project team (PT) operating under the responsibility of the project leader. Project teams shall be designated by the project number assigned to the project concerned. Once the project has been finished, the project team shall be disbanded. Each project team should normally have only one project on its work programme. Project teams may either be grouped together into working groups or report directly to the parent committee.

For other aspects relating to the work of project teams, see 1.11, working groups.

### **1.13 Groups having advisory functions within a committee**

**1.13.1** A group having advisory functions may be established by a technical committee or subcommittee to assist the chairman and secretariat in tasks concerning coordination, planning and steering of the committee's work or other specific tasks of an advisory nature.

**1.13.2** A proposal to establish such a group shall include recommendations regarding its constitution, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. Members of advisory groups shall be nominated by national bodies. The parent committee shall approve the final constitution.

**1.13.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents.

**1.13.4** The results of such a group shall be presented in the form of recommendations to the body that established the group. The recommendations may include proposals for the establishment of a working group (see 1.11) or a joint working group (see 1.11.5) for the preparation of publications.

**1.13.5** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the secretariat of the committee concerned and to the office of the CEO.

**1.13.6** Such a group shall be disbanded once its specified tasks have been completed.

### **1.14 Ad hoc groups**

Technical committees or subcommittees may establish ad hoc groups, the purpose of which is to study a precisely defined problem on which the group reports to its parent committee at the same meeting, or at the latest at the next meeting.

The membership of an ad hoc group shall be chosen from the delegates present at the meeting of the parent committee, supplemented, if necessary, by experts appointed by the committee. The parent committee shall also appoint a rapporteur.

An ad hoc group shall be automatically disbanded at the meeting to which it has presented its report.

### **1.15 Liaison between technical committees**

**1.15.1** Within each organization, technical committees and/or subcommittees working in related fields shall establish and maintain liaison. Liaisons shall also be established, where appropriate, with technical committees responsible for basic aspects of standardization (e.g. terminology, graphical symbols). Liaison shall include the exchange of basic documents, including new work item proposals and working drafts.

See [Annex SQ](#) concerning coordination of the standardization of graphical symbols.

**1.15.2** The maintenance of such liaison is the responsibility of the respective technical committee secretariats, which may delegate the task to the secretariats of the subcommittees.

**1.15.3** A technical committee or subcommittee may designate an observer, or observers, to follow the work of another technical committee with which a liaison has been established, or one or several of its subcommittees. The designation of such observers shall be notified to the secretariat of the committee concerned, which shall communicate all relevant documents



to the observer or observers and to the secretariat of that technical committee or subcommittee. The appointed observer shall make progress reports to the secretariat by which he has been appointed.

**1.15.4** Such observers shall have the right to participate in the meetings of the technical committee or subcommittee whose work they have been designated to follow but shall not have the right to vote. They may contribute to the discussion in meetings, including the submission of written comments, on matters within the competence of their own technical committee. They may also attend meetings of working groups of the technical committee or subcommittee if they so request.

## **1.16 Liaison between ISO and IEC**

**1.16.1** Arrangements for adequate liaison between ISO and IEC technical committees and subcommittees are essential. The channel of correspondence for the establishment of liaison between ISO and IEC technical committees and subcommittees is through the offices of the CEOs. As far as the study of new subjects by either organization is concerned, the CEOs seek agreement between the two organizations whenever a new or revised programme of work is contemplated in the one organization which may be of interest to the other, so that the work will go forward without overlap or duplication of effort. (See also Annex B.)

**1.16.2** Observers designated by ISO or IEC shall have the right to participate in the discussions of the other organization's technical committee or subcommittee whose work they have been designated to follow, and may submit written comments; they shall not have the right to vote.

## **1.17 Liaison with other organizations**

**1.17.1** The desirability of liaison between a technical committee or subcommittee and other international or broadly based regional organizations working or interested in similar or related fields shall be taken into account at an early stage of the work.

When an external organization applies for liaison, ISO Central Secretariat shall refer this application to the committee secretariat. The secretariat shall carry out a full consultation of the P-members of the committee concerned and shall advise ISO Central Secretariat of the result of this consultation. In case of unanimous approval by the P-members, ISO Central Secretariat shall establish and register the liaison. Negative votes shall be dealt with on a case-by-case basis.

Committees shall review their external liaisons annually and propose to ISO Central Secretariat cancellation of liaisons which are no longer effective or relevant. Such reviews shall be carried out either during meetings of committees or during review of the TC/SC annual reports at the end of each year, whichever comes sooner.

**1.17.2** The categories of liaison are the following.

- **Category A:** Organizations that make an effective contribution to the work of the technical committee or subcommittee for questions dealt with by this technical committee or subcommittee. Such organizations are sent copies of all relevant documentation and are invited to meetings. They may nominate experts to participate in a WG/PT (see 1.11.1 and 1.12).
- **Category B:** Organizations that have indicated a wish to be kept informed of the work of the technical committee or subcommittee. Such organizations are sent reports on the work of a technical committee or subcommittee.
- **Category C:** Reserved for ISO/IEC JTC 1
- **Category D:** Organizations that have indicated a wish to participate in the work of a working group or project team. Experts nominated by such organizations are sent copies of relevant documents and invited to meetings by the convenor of the WG/PT concerned.

**1.17.3** Liaisons are established by the Chief Executive Officer in consultation with the secretariat of the technical committee or subcommittee concerned. They are centrally recorded and reported to the technical management board. Category D liaisons shall be submitted to the technical management board for approval.

**1.17.4** In order to be effective, liaison shall operate in both directions, with suitable reciprocal arrangements.

**1.17.5** Technical committees and subcommittees shall seek the full and, if possible, formal backing of the organizations having A-liaison status for each International Standard in which the latter are interested.

**1.17.6** Technical committees and subcommittees shall review all their liaison arrangements on a regular basis, at least at every committee meeting.

## **2 Development of International Standards**

### **2.1 The project approach**

#### **2.1.1 General**

The primary duty of a technical committee or subcommittee is the development and maintenance of International Standards. However, committees are also strongly encouraged to consider publication of intermediate deliverables as described in Clause 3.

International Standards shall be developed on the basis of a project approach as described below.

#### **2.1.2 Strategic plan**

Within ISO the term “business plan” is used in place of “strategic plan”.

[Annex SG](#) describes the objectives of business plans, and the procedure that applies to their development and approval.

Each technical committee shall prepare a strategic plan for its own specific field of activity,

- a) taking into account the business environment in which it is developing its work programme;
- b) indicating those areas of the work programme which are expanding, those which have been completed, and those nearing completion or in steady progress, and those which have not progressed and should be deleted (see also 2.1.9);
- c) evaluating revision work needed (see also IEC Supplement to the ISO/IEC Directives, 2001, Clause 5 and ISO Supplement to the ISO/IEC Directives, 2001, 2.9);
- d) giving a prospective view on emerging needs.

The strategic plan shall be formally agreed upon by the technical committee and be included in its report for review and approval by the technical management board on a regular basis.

#### **2.1.3 Project stages**

**2.1.3.1** To facilitate the monitoring of project development, ISO has adopted a systematic approach to project management, based on subdivision of projects into stages and substages. [Annex SH](#) provides a summary of project stages.

Table 1 shows the sequence of project stages through which the technical work is developed, and gives the name of the document associated with each project stage. The development of

Technical Specifications, Technical Reports and Publicly Available Specifications is described in Clause 3.

**Table 1 — Project stages and associated documents**

Project stage	Associated document	
	Name	Abbreviation
<b>Preliminary stage</b>	Preliminary work item	PWI
<b>Proposal stage</b>	New work item proposal	NP
<b>Preparatory stage</b>	Working draft(s) <sup>1)</sup>	WD
<b>Committee stage</b>	Committee draft(s) <sup>1)</sup>	CD
<b>Enquiry stage</b>	Enquiry draft <sup>2)</sup>	ISO/DIS IEC/CDV
<b>Approval stage</b>	final draft International Standard <sup>3)</sup>	FDIS
<b>Publication stage</b>	International Standard	ISO, IEC or ISO/IEC
1) These stages may be omitted, as described in Annex F. 2) Draft International Standard in ISO, committee draft for vote in IEC. 3) May be omitted (see 2.6.4).		

**2.1.3.2** F.1 illustrates the steps leading to publication of an International Standard.

**2.1.3.3** The IEC Supplement to the ISO/IEC Directives, 2001, Annex F and ISO Supplement to the ISO/IEC Directives, 2001, [Annex SI](#), give a matrix presentation of the project stages, with a numerical designation of associated sub-stages.

The project management system is associated with a detailed project tracking system that is a subset of the Harmonized Stage Code system *ISO Guide 69:1999 Harmonized Stage Code system (Edition 2) — Principles and guidelines for use*. [Annex SI](#) gives a matrix presentation of this project tracking system, with the numerical designation of associated sub-stages. A project is registered in the ISO Central Secretariat database as having reached each particular step when the action or decision indicated at that point has been taken and ISO Central Secretariat has been duly informed.

## 2.1.4 Project description and acceptance

A project is any work intended to lead to the issue of a new, amended or revised International Standard. A project may subsequently be subdivided (see also 2.1.5.4).

A project shall be undertaken only if a proposal has been accepted in accordance with the relevant procedures (see 2.3 for proposals for new work items, and the IEC Supplement to the ISO/IEC Directives, 2001, Clause 5 and ISO Supplement to the ISO/IEC Directives, 2001, 2.9, for review and maintenance of existing International Standards).

Acceptance criteria for projects, and for advancing stages within a project, are described in clauses 2 and 3. A summary of these acceptance criteria is given in [Annex SN](#).

A proposed revision or amendment of an International Standard arising as the result of maintenance or the systematic review shall be undertaken only if a proposal has been accepted in accordance with the appropriate conditions (see also 2.9).

## 2.1.5 Programme of work

**2.1.5.1** The programme of work of a technical committee or subcommittee comprises all projects allocated to that technical committee or subcommittee, including maintenance of published standards.

NOTE Throughout the following text, the expression "technical committee or subcommittee" means "subcommittee" in all cases where there exists a subcommittee within whose defined scope the project in question may be considered to lie.

**2.1.5.2** In establishing its programme of work, each technical committee or subcommittee shall consider sectoral planning requirements as well as requests for International Standards initiated by sources outside the technical committee, i.e. other technical committees, advisory groups of the technical management board, policy level committees and organizations outside ISO and IEC. (See also 2.1.2.)

**2.1.5.3** Projects shall be within the agreed scope of the technical committee. Their selection shall be subject to close scrutiny in accordance with the policy objectives and resources of ISO and IEC. (See also Annex C.)

**2.1.5.4** Each project in the programme of work shall be given a number (see respective Supplements to the ISO/IEC Directives) and shall be retained in the programme of work under that number until the work on that project is completed or its deletion has been agreed upon. The technical committee or subcommittee may subdivide a number if it is subsequently found necessary to subdivide the project itself. The subdivisions of the work shall lie fully within the scope of the original project; otherwise, a new work item proposal shall be made.

The numbering scheme adopted within ISO for all working documents is defined in [Annex SJ](#).

**2.1.5.5** The programme of work shall indicate, if appropriate, the subcommittee and/or working group or project team to which each project is allocated.

**2.1.5.6** The agreed programme of work of a new technical committee shall be submitted to the technical management board for approval.

## **2.1.6 Target dates**

### **2.1.6.1 General [ISO numbering only]**

The need for stronger project management discipline in ISO technical work is a priority item in ISO's strategic agenda and the declared long term aim of the Technical Management Board is to judge the performance of committees against the target dates they themselves establish. For this reason, committees are requested to draw up project plans for each project in their programme of work by defining the optimum date by which the International Standard should be available and therefrom deriving the target dates for the main milestones in the standards development process. Such target dates need to take into account factors such as meeting schedules and the fixed time limits included in the ISO/IEC Directives, Part 1, 2001 such as the time limits for making available committee drafts for discussion at meetings, for sending final committee drafts and revised texts after DIS vote to the Central Secretariat etc.

The technical committee or subcommittee shall establish, for each project on its programme of work, target dates for the completion of each of the following steps:

- completion of the first working draft (in the event that only an outline of a working document has been provided by the originator of the new work item proposal – see 2.3);
- circulation of the first committee draft;
- circulation of the enquiry draft;
- circulation of the final draft International Standard (in agreement with the office of the CEO);
- publication of the International Standard (in agreement with the office of the CEO).

These target dates shall correspond to the shortest possible development times, taking into account the need to produce International Standards rapidly and shall be reported to the

office of the CEO, which distributes the information to all national bodies. For establishment of target dates, see the Supplements to the ISO/IEC Directives.

In establishing target dates, the relationships between projects shall be taken into account. Priority shall be given to those projects intended to lead to International Standards upon which other International Standards will depend for their implementation. The highest priority shall be given to those projects having a significant effect on international trade and recognized as such by the technical management board.

The following time limits may be used as guidance when establishing target dates (following approval of the work item):

- availability of working draft (if not supplied with the proposal): 6 months
- availability of committee draft: 12 months
- availability of enquiry draft: 24 months
- availability of approval draft: 33 months
- availability of published standard: 36 months

In IEC, for guidelines relating to the total development time for International Standards, see the IEC Supplement to the ISO/IEC Directives, 2001, Clause 4.

The technical management board may also instruct the secretariat of the technical committee or subcommittee concerned to submit the latest available draft to the office of the CEO for publication as a Technical Specification (see 3.1).

All target dates shall be kept under continuous review and amended as necessary, and shall be clearly indicated in the programme of work. Revised target dates shall be notified to the technical management board. For monitoring of work programmes, see the respective ISO/IEC Directives Supplements.

The target dates shall be kept under continuous review by committee secretariats which shall ensure that they are reviewed and either confirmed or revised at each committee meeting. Such reviews shall also seek to confirm that projects are still market relevant and in cases in which they are found to be no longer required, or if the likely completion date is going to be too late, thus causing market players to adopt an alternative solution, the projects shall be cancelled.

In cases in which committees have not defined target dates, or the target dates have been exceeded, secretariats shall use the time limits given in the ISO/IEC Directives, Part 1, 2001 in order to initiate a review within the committee of the continued market relevance or otherwise of the project. Projects which are no longer needed shall be cancelled.

When defining target dates, the time limits shall be taken into account. Where it is believed that it will not be possible to comply with the time limits, approval for an extension shall be requested from the Technical Management Board, each such request being accompanied by a justification.

In addition to the above provisions, the Technical Management Board has requested the Central Secretariat to cancel automatically projects on which no progress has been made for three years or which have not reached publication stage after seven years. (See 2.1.6.3)

[Annex SK](#) provides a summary of all target dates and time limits.

### 2.1.6.2 Automatic cancellation of projects (and their reinstatement)

A project shall be cancelled if

- it has not advanced at least one project stage within a period of 36 months (automatic cancellation by ISO Central Secretariat);
- from the date of inclusion in the programme of work, it has not reached the publication stage within 84 months (automatic cancellation by ISO Central Secretariat);

To be reinstated cancelled projects shall be submitted by the secretariat of the committee concerned to a 3 months reinstatement ballot among P-members of the committee, applying the same criteria for justification and approval as for a new work item proposal (see *ISO/IEC Directives, Part 1, 2001, 2.3*).

**NOTE** It is important that all requests to ISO Central Secretariat for reinstatement are accompanied by full justification.

### 2.1.7 Project management

The secretariat of the technical committee or subcommittee is responsible for the management of all projects in the programme of work of that technical committee or subcommittee, including monitoring of their progress against the agreed target dates.

If target dates (see 2.1.6) are not met and there is insufficient support for the work (that is, the acceptance requirements for new work given in 2.3.5 are no longer met), the committee responsible shall cancel the work item.

### 2.1.8 Project leader

For the development of each project, a project leader (the WG/PT convenor, a designated expert or, if appropriate, the secretary) shall be appointed by the technical committee or subcommittee, taking into account the project leader nomination made by the originator of the new work item proposal (see 2.3.4). It shall be ascertained that the project leader will have access to appropriate resources for carrying out the development work. The project leader shall act in a purely international capacity, divesting him- or herself of a national point of view. The project leader should be prepared to act as consultant, when required, regarding technical matters arising at the proposal stage through to the publication stage (see 2.5 to 2.8). The project leader reports to the committee concerned.

The secretariat shall communicate the name and address of the project leader, with identification of the project concerned, to the office of the CEO.

A summary of the responsibilities of a project leader is given in [Annex SE](#).

### 2.1.9 Progress control

Periodical progress reports to the technical committee shall be made by its subcommittees and working groups or project teams (see also IEC Supplement to the ISO/IEC Directives, 2001, Annex E and ISO Supplement to the ISO/IEC Directives, 2001, [Annex SL](#)). Meetings between their secretariats will assist in controlling the progress.

The office of the CEO shall monitor the progress of all work and shall report periodically to the technical management board. For this purpose, the office of the CEO shall receive copies of documents as indicated in the IEC Supplement to the ISO/IEC Directives, 2001, Annex D and ISO Supplement to the ISO/IEC Directives, 2001, [Annex SF](#).

[Annex SL](#) summarizes aspects of monitoring a work programme, in particular projects that have over-run their target dates and/or the time limits.

To enable ISO Central Secretariat to monitor the progress of all work and to report periodically to the Technical Management Board, the committee secretariat shall ensure that the ISO Central Secretariat is notified each time a new document is distributed.

### **1.1.1 (ISO Only) Responsibility for keeping records**

The responsibility for keeping records concerning committee work and the background to the publication of International Standards and other ISO deliverables is divided between committee secretariats and the ISO Central Secretariat. The maintenance of such records is of particular importance in the context of changes of secretariat responsibility from one member body to another. It is also important that information on key decisions and important correspondence pertaining to the preparation of International Standards and other ISO deliverables should be readily retrievable in the event of any dispute arising out of the provenance of the technical content of the publications.

The secretariats of committees shall establish and maintain records of all official transactions concerning their committees, in particular reference copies of approved minutes of meetings and resolutions. Copies of working documents, results of ballots etc. shall be kept at least until such time as the publications to which they refer have been revised or have completed their next systematic review, but in any case for a minimum of five years after the publication of the related International Standards or other ISO deliverable.

The ISO Central Secretariat shall keep reference copies of all International Standards and other ISO deliverables, including withdrawn editions, and shall keep up-to-date records of member body votes in respect of these publications. Copies of draft International Standards (DIS) and of final draft International Standards (FDIS), including associated reports of voting, and final proofs shall be kept at least until such time as the publications to which they refer have been revised or have completed their next systematic review, but in any case for a minimum of five years after publication.

## **2.2 Preliminary stage**

**2.2.1** Technical committees or subcommittees may introduce into their work programmes, by a simple majority vote of their P-members, preliminary work items (for example, corresponding to subjects dealing with emerging technologies), which are not yet sufficiently mature for processing to further stages.

Such items may include, for example, those listed in the strategic plan, particularly as given under 2.1.2 d) giving a prospective view on emerging needs.

**2.2.2** The preliminary stage shall be applied for work items where no target dates can be established.

**2.2.3** All preliminary work items shall be subject to regular review by the committee. The committee shall evaluate the resources required for each such item.

**2.2.4** This stage can be used for the elaboration of a new work item proposal (see 2.3) and the development of an initial draft.

**2.2.5** Before progressing to the preparatory stage, all such items shall be subject to approval in accordance with the procedures described in 2.3.

## **2.3 Proposal stage**

**2.3.1** A new work item proposal (NP) is a proposal for:

- a new standard;
- a new part of an existing standard;

- in ISO, revision of an existing standard or part;
- in ISO, an amendment to an existing standard or part;
- a Technical Specification (see 3.1) or a Publicly Available Specification (see 3.2).

**2.3.2** A new work item proposal within the scope of an existing technical committee or subcommittee may be made in the respective organization by

- a national body;
- the secretariat of that technical committee or subcommittee;
- another technical committee or subcommittee;
- an organization in liaison;
- the technical management board or one of its advisory groups;
- the Chief Executive Officer.

**2.3.3** Where both an ISO and an IEC technical committee are concerned, the Chief Executive Officers shall arrange for the necessary coordination. (See also Annex B.)

**2.3.4** Each new work item proposal shall be presented using the appropriate form, and shall be fully justified (see C.5 for all new work other than amendments to existing publications).

The originator of the new work item proposal shall

- make every effort to provide a first working draft for discussion, or shall at least provide an outline of such a working draft;
- nominate a project leader.

Copies of the completed form shall be circulated to the members of the technical committee or subcommittee for P-member ballot and to the O-members for information.

The proposed date of availability of the publication shall be indicated on the form.

A decision upon a new work item proposal may be taken either by correspondence or at a meeting of a technical committee or subcommittee.

If a decision upon a new work item proposal is to be taken at a meeting, the proposal shall be put on the agenda, according to the conditions of 4.2.1.

Votes shall be returned within 3 months or at the meeting at which the decision is to be taken.

P-members agreeing to participate actively in the work shall nominate (an) expert(s) on the appropriate form.

When completing the reply form, national bodies should consider the principles given in Annex C.

**2.3.5** Acceptance requires

- a) a commitment by,
- in IEC, at least 25% of the P-members, but at least 4 P-members,
  - in ISO, 5 P-members,
- approving the work item to participate actively in the development of the project, i.e. to make an effective contribution at the preparatory stage, by nominating technical experts



and by commenting on working drafts; individual committees may increase this minimum requirement, and

- b) approval by a simple majority of the P-members of the technical committee or subcommittee voting.

Rules for the interpretation of ballot results are as specified in the *ISO/IEC Directives, Part 1, 2001*, 2.3.5, together with the following. For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

- the SVAT score for the evaluation of market relevance shall be greater than 15 (see Note 1)

**NOTE 1** The SVAT (Standards Value Assessment Tool) scheme aims to provide an objective basis for determining the need - or otherwise - of a project. When calculating SVAT scores, only the votes of P-members voting either positive or negative are included in the calculation. Abstentions are not included. Incomplete votes are also not counted. The SVAT evaluation table is considered to be a vital part of the assessment procedure, and if it is not completed it is considered that the evaluation by the P-member concerned is incomplete and thus invalid.

- P-members agreeing to participate actively in the work shall nominate (an) expert(s) at the time of voting (see Note 2)

**NOTE 2** Nominated experts are considered to be potential advisors to the project leader, and will be invited to participate in Working Group meetings, etc. if appropriate.

- P-members having voted negatively but nevertheless indicating willingness to participate shall **not** be included in determining the commitment of member bodies to participate actively in the work.

When determining whether or not a proposal has been approved, **all** criteria shall be met. If one or more are not satisfied, the proposal shall be considered as not approved.

The result of the voting on a new work item proposal shall be reported to ISO Central Secretariat using ISO Form 6. A formal abstention is considered to be a vote, and shall be listed on ISO Form 6. It is not necessary to list all those P-members of the committee that did **not** vote. All target dates shall be indicated on the form, together with the French title if possible.

**2.3.6** Once a new work item proposal is accepted, it shall be registered in the programme of work of the relevant technical committee or subcommittee as a new project with the appropriate priority and shall be registered by the office of the CEO. The agreed target dates (see 2.1.6) shall be indicated on the appropriate form.

**2.3.7** The inclusion of the project in the programme of work concludes the proposal stage.

## **2.4 Preparatory stage**

**2.4.1** The preparatory stage covers the preparation of a working draft (WD) conforming to the ISO/IEC Directives, Part 2.

**2.4.2** When a new project is accepted the project leader shall work with the experts nominated by the P-members during the approval (see 2.3.5a)).

**2.4.3** The secretariat may propose to the technical committee or subcommittee, either at a meeting or by correspondence, to create a working group or project team the convenor of which will normally be the project leader.

Such a working group or, in IEC, project team shall be set up by the technical committee or subcommittee, which shall define the task(s) and set the target date(s) for submission of draft(s) to the technical committee or subcommittee (see also 1.11). The working group or

project team convenor shall ensure that the work undertaken remains within the scope of the balloted work item.

**2.4.4** In responding to the proposal to set up a working group or, in IEC, a project team, those P-members having agreed to participate actively (see 2.3.5a)) shall each confirm their technical expert(s). Other P-members or A- or D- liaison organizations may also nominate expert(s).

**2.4.5** The project leader is responsible for the development of the project and will normally convene and chair any meetings of the working group or project team. He may invite a member of the working group or project team to act as its secretary.

**2.4.6** Every possible effort shall be made to prepare both a French and an English version of the text in order to avoid delays in the later stages of the development of the project.

If a trilingual (English — French — Russian) standard is to be prepared, this provision should include the Russian version.

**2.4.7** For time limits relating to this stage, see 2.1.6.

**2.4.8** The preparatory stage ends when a working draft is available for circulation to the members of the technical committee or subcommittee as a first committee draft (CD) and is registered by the office of the CEO. The committee may also decide to publish the final working draft as a PAS (see 3.2) to respond particular market needs.

For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

## **2.5 Committee stage**

**2.5.1** The committee stage is the principal stage at which comments from national bodies are taken into consideration, with a view to reaching consensus on the technical content. National bodies shall therefore carefully study the texts of committee drafts and submit all pertinent comments at this stage.

**2.5.2** As soon as it is available, the first committee draft shall be circulated to all P-members and O-members of the technical committee or subcommittee for consideration, with a clear indication of the latest date for submission of replies.

When a committee draft is made available for review by the committee, ISO Form 7 shall be used as the cover page, and shall indicate the required action, including a clear indication of the latest date for submission of replies.

For the first committee draft 3 months shall be available for national bodies to comment.

Comments shall be sent for preparation of the compilation of comments, in accordance with the instructions given.

The replies of the committee's P-members shall be submitted to the **committee secretariat** not to ISO Central Secretariat using ISO Form 8.

National bodies shall fully brief their delegates on the national position before meetings.

**2.5.3** No more than 4 weeks after the closing date for submission of replies, the secretariat shall prepare the compilation of comments and arrange for its circulation to all P-members and O-members of the technical committee or subcommittee. When preparing this compilation, the secretariat shall indicate its proposal, made in consultation with the chairman

of the technical committee or subcommittee and, if necessary, the project leader, for proceeding with the project, either

- a) to discuss the committee draft and comments at the next meeting, or
- b) to circulate a revised committee draft for consideration, or
- c) to register the committee draft for the enquiry stage (see 2.6)

If, within 2 months from the date of dispatch, 2 or more P-members disagree with proposal b) or c) of the secretariat, the committee draft shall be discussed at a meeting (see 4.2.1.3).

**2.5.4** If a committee draft is considered at a meeting but agreement on it is not reached on that occasion, a further committee draft incorporating decisions taken at the meeting shall be distributed within 3 months for consideration. A period of 3 months shall be available to national bodies to comment on the draft and on any subsequent versions.

**2.5.5** Consideration of successive drafts shall continue until consensus of the P-members of the technical committee or subcommittee has been obtained or a decision to abandon or defer the project has been made.

**2.5.6** The decision to circulate an enquiry draft (see 2.6.1) shall be taken on the basis of the consensus principle.

It is the responsibility of the chairman of the technical committee or subcommittee, in consultation with the secretary of his committee and, if necessary, the project leader, to judge whether there is sufficient support bearing in mind the definition of consensus given in ISO/IEC Guide 2:1996.

**"consensus:** General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments.

NOTE Consensus need not imply unanimity."

Within ISO, in case of doubt concerning consensus, approval by a two-thirds majority of the P-members of the technical committee or subcommittee voting may be deemed to be sufficient for the committee draft to be accepted for registration as an enquiry draft; however every attempt shall be made to resolve negative votes.

Rules for the interpretation of ballot results are as specified in the *ISO/IEC Directives, Part 1, 2001*, 2.5.6. For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

The secretariat of the technical committee or subcommittee responsible for the committee draft shall ensure that the enquiry draft fully embodies decisions taken either at meetings or by correspondence.

**2.5.7** When consensus has been reached in a technical committee or subcommittee, its secretariat shall submit the finalized version of the draft in electronic form suitable for distribution to the national members for enquiry (2.6.1), to the office of the CEO (with a copy to the technical committee secretariat in the case of a subcommittee) within a maximum of 4 months.

**2.5.8** For time limits relating to this stage, see 2.1.6.

**2.5.9** The committee stage ends when all technical issues have been resolved and a committee draft is accepted for circulation as an enquiry draft and is registered by the office of the CEO. Texts that do not conform to the ISO/IEC Directives, Part 2 shall be returned to the secretariat with a request for correction before they are registered.

The secretariat shall submit the proposed draft International Standard (DIS) to ISO Central Secretariat in electronic format together with a completed copy of ISO Form 8A, indicating the names of the ISO P-members falling into each category of voter.

NOTE 1 Guidance on the requisite electronic formats (including for any graphics to be included in a text), is provided in the ISO Central Secretariat guidance note *Provision of text and graphics in electronic form to ISO Central Secretariat*.

NOTE 2 PDF (the *Portable Document Format* created by Adobe®) is the display format preferred by ISO. Comprehensive guidance on PDF, including the encoding of documents, may be found on the Standards Developers' Information Site (see *Annex SA*) at <http://www.iso.ch/sdis/pdf>, along with information on text formats (particularly the use of the ISO authoring template) and graphics formats (see also *ISO/IEC Directives, Part 2, 2001*).

**2.5.10** If the technical issues cannot all be resolved within the appropriate time limits, technical committees and subcommittees may wish to consider publishing an intermediate deliverable in the form of a Technical Specification (see 3.1) pending agreement on an International Standard

## 2.6 Enquiry stage

**2.6.1** At the enquiry stage, the enquiry draft (DIS in ISO, CDV in IEC) shall be circulated by the office of the CEO within 4 weeks to all national bodies for a 5 months vote.

For policy on the use of languages, see Annex E.

National bodies shall be advised of the date by which completed ballots are to be received by the office of the CEO.

For all documents submitted as proposed draft International Standards, ISO Form 9 will be attached by ISO Central Secretariat as the cover page, and will indicate the latest date for submission of replies.

NOTE This form is automatically generated by the ISO document preparation system — no action is required by the submitter of the DIS.

At the end of the voting period, the Chief Executive Officer shall send within 4 weeks to the chairman and secretariat of the technical committee or subcommittee the results of the voting together with any comments received, for further speedy action.

**2.6.2** Votes submitted by national bodies shall be explicit: positive, negative, or abstention.

The replies of the ISO members to the proposal shall be submitted **to the ISO Central Secretariat** not to the committee secretariat. Member bodies not using the ISO electronic balloting system shall use ISO Form 10.

A positive vote may be accompanied by editorial or technical comments, on the understanding that the secretary, in consultation with the chairman of the technical committee or subcommittee and project leader, will decide how to deal with them.

If a national body finds an enquiry draft unacceptable, it shall vote negatively and state the technical reasons. It may indicate that the acceptance of specified technical modifications will change its negative vote to one of approval, but it shall not cast an affirmative vote which is conditional on the acceptance of modifications.

**2.6.3** An enquiry draft is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and

- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

Comments received after the normal voting period are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the International Standard.

ISO Central Secretariat will provide a summary of results to the committee secretariat for further action.

**2.6.4** On receipt of the results of the voting and any comments, the chairman of the technical committee or subcommittee, in cooperation with its secretariat and the project leader, and in consultation with the office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of 2.6.3 are met, to register the enquiry draft, as modified, as a final draft International Standard, or
- b) in the case of an enquiry draft where no negative votes have been received, to proceed directly to publication, or
- c) when the approval criteria of 2.6.3 are not met;
  - 1) to circulate a revised enquiry draft for voting (see 2.6.1), or

NOTE Within ISO, a revised enquiry draft will be circulated for a voting period of 2 months, which may be extended up to 5 months at the request of one or more P-members of the committee concerned.

- 2) to circulate a revised committee draft for comments, or
- 3) to discuss the enquiry draft and comments at the next meeting.

The decision of the chairman taken as a result of the voting shall be submitted using ISO Form 13.

NOTE Rules for the interpretation of ballot results are as specified in the *ISO/IEC Directives, Part 1, 2001*, 2.6.3. For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

**2.6.5** Not later than 3 months after the end of the voting period, a full report shall be prepared by the secretariat of the technical committee or subcommittee and circulated by the office of the CEO to the national bodies. The report shall

- a) show the result of the voting;
- b) state the decision of the chairman of the technical committee or subcommittee;
- c) reproduce the text of the comments received; and
- d) include the observations of the secretariat of the technical committee or subcommittee on each of the comments submitted.

Every attempt shall be made to resolve negative votes.

If, within 2 months from the date of dispatch, two or more P-members disagree with decision 2.6.4 c.1) or c.2) of the chairman, the draft shall be discussed at a meeting (see 4.2.1.3).

**2.6.6** When the chairman has taken the decision to proceed to the approval stage (see 2.7) or publication stage (see 2.8), the secretariat of the technical committee or subcommittee shall prepare, within a maximum of 4 months after the end of the voting period and with the assistance of its editing committee, a final text and send it to the office of the CEO for preparation and circulation of the final draft International Standard.

The secretariat shall provide the office of the CEO with the text in a revisable machine-readable form and also in a format which permits validation of the revisable form.

The revised text shall be submitted to ISO Central Secretariat in electronic format together with the decision of the chairman taken as a result of the voting, using ISO Form 13, and including a detailed indication of the decisions taken for each comment as annex B to the ISO Form 13.

Texts that do not conform to the [ISO/IEC Directives, Part 2](#) shall be returned to the secretariat with a request for correction before they are registered.

**2.6.7** For time limits relating to this stage, see 2.1.6.

**2.6.8** The enquiry stage ends with the registration, by the office of the CEO, of the text for circulation as a final draft International Standard or publication as an International Standard, in the case of 2.6.4 b).

## **2.7 Approval stage**

**2.7.1** At the approval stage, the final draft International Standard (FDIS) shall be distributed by the office of the CEO within 3 months in ISO, 4 months in IEC, to all national bodies for a 2 month vote.

National bodies shall be advised of the date by which ballots are to be received by the office of the CEO.

When the final draft International Standard (FDIS) is being circulated by ISO Central Secretariat, ISO Form 16 will be used as the cover page, and will indicate the latest date for submission of replies.

**NOTE** This form is automatically generated by the ISO document preparation system — no action is required by the submitter of the FDIS.

**2.7.2** Votes submitted by national bodies shall be explicit: positive, negative, or abstention.

The replies of the ISO members to the proposal shall be submitted to the **ISO Central Secretariat** not to the committee secretariat. Member bodies not using the ISO electronic balloting system shall use ISO Form 17.

If a national body votes affirmatively, it shall not submit any comments.

If a national body finds a final draft International Standard unacceptable, it shall vote negatively and state the technical reasons. It shall not cast an affirmative vote that is conditional on the acceptance of modifications.

**2.7.3** A final draft International Standard having been circulated for voting is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and
- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

ISO Central Secretariat will provide a summary of results to the committee secretariat, for appropriate action.

Technical reasons for negative votes are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the International Standard.

**NOTE** Rules for the interpretation of ballot results, and for any subsequent action, are as specified in the ISO/IEC Directives, Part 1, 2001, 2.7. For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

**2.7.4** The secretariat of the technical committee or subcommittee has the responsibility of bringing any errors that may have been introduced in the preparation of the draft to the attention of the office of the CEO by the end of the voting period; further editorial or technical amendments are not acceptable at this stage.

**2.7.5** Within 2 weeks after the end of the voting period, the office of the CEO shall circulate to all national bodies a report showing the result of voting and indicating either the formal approval by national bodies to issue the International Standard or formal rejection of the final draft International Standard.

Technical reasons for negative votes shall be appended for information only.

**2.7.6** If the final draft International Standard has been approved in accordance with the conditions of 2.7.3, it shall proceed to the publication stage (see 2.8).

**2.7.7** If the final draft International Standard is not approved in accordance with the conditions 2.7.3, the document shall be referred back to the technical committee or subcommittee concerned for reconsideration in the light of the technical reasons submitted in support of the negative votes.

The committee may decide to:

- resubmit a modified draft as a committee draft, enquiry draft or, in ISO, final draft International Standard;
- publish a Technical Specification (see 3.1);
- cancel the project.

**2.7.8** The approval stage ends with the circulation of the voting report (see 2.7.5) stating that the FDIS has been approved for publication as an International Standard, with the publication of a Technical Specification (see 3.1.1.2), or with the document being referred back to the committee.

## **2.8 Publication stage**

**2.8.1** Within 2 months, the office of the CEO shall correct any errors indicated by the secretariat of the technical committee or subcommittee, and print and distribute the International Standard.

**2.8.2** The publication stage ends with the publication of the International Standard.

## **2.9 Maintenance of standards [and other ISO deliverables]**

### **2.9.1 Introduction**

The procedures for the maintenance of standards are given in the IEC Supplement to the ISO/IEC Directives, 2001, Clause 5 and Annex B, and ISO Supplement to the ISO/IEC Directives, 2001, 2.9.

Every International Standard and other deliverable published by ISO or jointly with IEC shall be subject to systematic review in order to determine whether it should be confirmed,



revised/amended, converted to another form of deliverable, or withdrawn, according to Table S1.

**Table S1 — Timing of systematic reviews**

<b>Deliverable</b>	<b>Max. elapsed time before systematic review</b>	<b>Max. number of times deliverable may be confirmed</b>	<b>Max. life</b>
International Standard	5 years	Not limited	Not limited
Technical Specification	3 years	Once	6 years (If not converted after this period, the deliverable is proposed for withdrawal)
Publicly Available Specification	3 years	Once	6 years (If not converted after this period, the deliverable is proposed for withdrawal)
Technical Report	Not specified	Not specified	Not limited

A systematic review will typically be initiated in the following circumstances:

- (all deliverables) on the initiative and as a responsibility of the secretariat of the responsible committee, typically as the result of the elapse of the specified period since publication or the last confirmation of the document, or
- (for International Standards, only) a default action by ISO Central Secretariat if a systematic review of the International Standard(s) concerned has not been initiated by the secretariat of the responsible committee within 5 years, or
- (all deliverables) at the request of one or more national body, or
- (all deliverables) at the request of the CEO.

The timing of a systematic review is normally based either on the year of publication or, where a document has already been confirmed, on the year in which it was last confirmed. However, it is not necessary to wait for the maximum period to elapse before a document is reviewed.

### 2.9.2 Ballots

The ballot period is 6 months.

The replies of the ISO members shall be submitted to the **committee secretariat** not to ISO Central Secretariat using ISO Form 20.

No more than 6 months after the ballot closes a report of the results of the systematic review and proposed decisions based on these results shall be submitted by the secretariat of the technical committee or subcommittee to the committee members and to ISO Central Secretariat using ISO Form 21.



## 2.9.3 Interpretation of ballot results

### 2.9.3.1 General

Typically, a decision as to the appropriate action to take following a systematic review shall be based on a simple majority of P-members voting for a specific action. However, in some cases a more detailed analysis of the results may indicate that another interpretation may be more appropriate.

NOTE 1 It is not feasible to provide concrete rules for all cases when interpreting the ballot results due to the variety of possible responses, degrees of implementation, and the relative importance of comments, etc.

NOTE 2 For a summary of approval requirements for all stages and all deliverables, see [Annex SN](#).

Where voting results are not definitive and/or a decision is based on interpretation of responses the secretariat may invite approval of a proposed course of action within a specified time delay, for example within two months.

In proposing future action, due account shall be taken of the maximum possible number of confirmations and specified maximum life of the deliverable concerned (see Table S1).

### 2.9.3.2 Interpretation of ballot results for International Standards

#### Option 1: Confirmation (retention without technical change)

Where it has been verified that a document is used, that it should continue to be made available, and that no technical changes are needed, a deliverable may be confirmed. The criteria are as follows:

- the SVAT score for the evaluation of market relevance shall be equal to or greater than 9 (see Note);

NOTE The SVAT (Standards Value Assessment Tool) scheme aims to provide an objective basis for determining the need - or otherwise - of a project. When calculating SVAT scores, only the votes of P-members voting either positive or negative are included in the calculation. Abstentions are not included. Incomplete votes are also not counted. The SVAT evaluation table is considered to be a vital part of the assessment procedure, and if it is not completed it is considered that the evaluation by the P-member concerned is incomplete and thus invalid.

- a standard has been adopted unchanged for national use, either in its original form or transformed into a national standard, in at least five countries;
- no technical change to the content is envisaged;
- a simple majority of the P-members of the committee voting propose confirmation.

Confirmation of an International Standard is subject to **all** criteria being met. Where this is not so, the publication concerned shall either be subject to amendment or revision, or withdrawn

In some cases an error may be found in the course of the systematic review that requires correction before confirmation. Such corrections shall be progressed as Technical Corrigenda as specified in *ISO/IEC Directives, Part 1, 2001*, 2.10.1.

#### Option 2: Amendment or revision (Retention, with change/s)

Where it has been verified that a document is used, that it should continue to be made available, but that technical changes are needed, a deliverable may be proposed for amendment or revision. The criteria are as follows:

- the SVAT score for the evaluation of market relevance shall be equal to or greater than 9 (see Note);

**NOTE** The SVAT (Standards Value Assessment Tool) scheme aims to provide an objective basis for determining the need - or otherwise - of a project. When calculating SVAT scores, only the votes of P-members voting either positive or negative are included in the calculation. Abstentions are not included. Incomplete votes are also not counted. The SVAT evaluation table is considered to be a vital part of the assessment procedure, and if it is not completed it is considered that the evaluation by the P-member concerned is incomplete and thus invalid.

- a standard has been adopted as the basis for a national standard, with or without change, in at least five countries;
- one or more countries have identified significant reason(s) for change.

If a simple majority of the P-members of the committee considers there is a need for amendment or revision an item may be registered as an Approved Work Item (AWI) (stage 20.00). In such cases the original 6 month period defined for the systematic review is considered sufficient, and no additional vote for a new work item is required to approve the establishment of a revision or amendment. In other cases, a detailed justification shall be included with any proposals for amendment or revision. Where an amendment or revision is not immediately started following approval by the committee, it is recommended that the project is first registered as a preliminary work item. When it is eventually proposed for registration at stage 20.00, reference shall be made to the results of the preceding systematic review.

Where it is decided that the International Standard needs to be revised or amended, it becomes a new project and shall be added to the programme of work of the technical committee or subcommittee. The steps for revision or amendment are the same as those for preparation of a new standard, and include the establishment of target dates for the completion of the relevant stages. An amendment or revision shall be progressed as specified in *ISO/IEC Directives, Part 1, 2001, 2.10.3*).

### **Option 3: Withdrawal**

In the case of the proposed withdrawal of an International Standard, the national bodies shall be informed by the CEO of the decision of the technical committee or subcommittee, with an invitation to inform the office of the CEO within 3 months if they object to that decision. This 3 month period may be extended to 6 months at the request of one or more national bodies.

Any objection received shall be referred to the Technical Management Board for decision.

#### **2.9.3.3 Conversion to an International Standard (Technical Specifications and Publicly Available Standards only)**

In addition to the three basic options of confirmation, amendment or revision, or withdrawal, in the cases of the systematic review of Technical Specifications and Publicly Available Standards a fourth option is their conversion to an International Standard.

To initiate conversion to an International Standard, a text, up-dated as appropriate, is submitted to the normal development procedures as specified for an International Standard.

The conversion procedure will typically start with a DIS vote. Where changes considered to be required are judged as being so significant as to require a full review in the committee prior to DIS ballot, a revised version of the document shall be submitted for review and ballot as a CD.

## **2.10 Technical corrigenda and amendments**

### **2.10.1 General**

A published International Standard may subsequently be modified by the publication of

- a technical corrigendum (or a corrected reprint of the current edition);
- an amendment.

Technical corrigenda and amendments are published as separate documents, the edition of the International Standard affected remaining in print.

### 2.10.2 Technical corrigenda

A technical corrigendum is issued to correct either

- a technical error or ambiguity in an International Standard, a Technical Specification, a Publicly Available Specification or a Technical Report, inadvertently introduced either in drafting or in printing and which could lead to incorrect or unsafe application of the publication, or
- information that has become outdated since publication, provided that the modification has no effect on the technical normative elements (see [ISO/IEC Directives, Part 2, 2001, 6.3](#)) of the standard.

**NOTE** Technical corrigenda are not issued to correct errors that can be assumed to have no consequences in the application of the publication, for example minor printing errors.

Suspected technical errors or outdated information shall be brought to the attention of the secretariat of the technical committee or subcommittee concerned. After confirmation by the secretariat and chairman, if necessary in consultation with the project leader and P-members of the technical committee or subcommittee, the secretariat shall submit to the office of the CEO a proposal for correction, with an explanation of the need to do so.

The Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the publication, whether to publish a technical corrigendum or a corrected or updated reprint of the existing edition of the publication (see also 2.10.4).

### 2.10.3 Amendments

An amendment alters and/or adds to previously agreed technical provisions in an existing International Standard.

The procedure for developing and publishing an amendment shall be as described in 2.3 (ISO), or the maintenance procedures (see IEC Supplement) and 2.4 to 2.8.

At the approval stage (2.7), the Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the International Standard, whether to publish an amendment or a new edition of the International Standard, incorporating the amendment. (See also 2.10.4.)

**NOTE** Where it is foreseen that there will be frequent *additions* to the provisions of an International Standard, the possibility should be borne in mind at the outset of developing these additions as a series of parts (see ISO/IEC Directives, Part 2).

### 2.10.4 Avoidance of proliferation of modifications

No more than 2 separate documents in the form of technical corrigenda or amendments shall be published modifying a current International Standard. The development of a third such document shall result in publication of a new edition of the International Standard.

## 2.11 Maintenance agencies

When a technical committee or subcommittee has developed a standard that will require frequent modification, it may decide that a maintenance agency is required. Rules concerning the designation of maintenance agencies are given in Annex G.

## 2.12 Registration authorities

When a technical committee or subcommittee has developed a standard that includes registration provisions, a registration authority is required. Rules concerning the designation of registration authorities are given in Annex H.

Registration authorities are invited to provide information to the Technical Management Board on their activities on a yearly basis.

## 2.13 Copyright

The copyright for all drafts and International Standards and other publications belongs to ISO or IEC (whichever is concerned), as represented by the office of the CEO.

For supplementary information relating to copyright, refer to [Annex SM](#).

## 2.14 Reference to patented items

**2.14.1** If, in exceptional situations, technical reasons justify such a step, there is no objection in principle to preparing an International Standard in terms which include the use of items covered by patent rights – defined as patents, utility models and other statutory rights based on inventions, including any published applications for any of the foregoing – even if the terms of the standard are such that there are no alternative means of compliance. The rules given below and in the [ISO/IEC Directives, Part 2, 2001, Annex H](#) shall be applied.

**2.14.2** If technical reasons justify the preparation of a document in terms which include the use of items covered by patent rights, the following procedures shall be complied with.

- a) The originator of a proposal for a document shall draw the attention of the committee to any patent rights of which the originator is aware and considers to cover any item of the proposal. Any party involved in the preparation of a document shall draw the attention of the committee to any patent rights of which it becomes aware during any stage in the development of the document.
- b) If the proposal is accepted on technical grounds, the originator shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate worldwide licences under his rights with applicants throughout the world on reasonable and non-discriminatory terms and conditions. Such negotiations are left to the parties concerned and are performed outside ISO and/or IEC. A record of the right holder's statement shall be placed in the registry of the ISO Central Secretariat or IEC Central Office as appropriate, and shall be referred to in the introduction to the relevant document [see [ISO/IEC Directives, Part 2, 2001, H.3](#)]. If the right holder does not provide such a statement, the committee concerned shall not proceed with inclusion of an item covered by a patent right in the document without authorization from ISO Council or IEC Council as appropriate.
- c) A document shall not be published until the statements of the holders of all identified patent rights have been received, unless the Council concerned gives authorization.

**2.14.3** Should it be revealed after publication of a document that licences under patent rights, which appear to cover items included in the document, cannot be obtained under reasonable and non-discriminatory terms and conditions, the document shall be referred back to the relevant committee for further consideration.

### 3 Development of other deliverables

#### 3.1 Technical Specifications

**3.1.1** Technical Specifications may be prepared and published under the following circumstances and conditions.

**3.1.1.1** When the subject in question is still under development or where for any other reason there is the future but not immediate possibility of an agreement to publish an International Standard, the technical committee or subcommittee may decide, by following the procedure set out in 2.3, that the publication of a Technical Specification would be appropriate. The procedure for preparation of such a Technical Specification shall be as set out in 2.4 and 2.5. The decision to publish the resulting document as a Technical Specification shall require a two-thirds majority vote of the P-members voting of the technical committee or subcommittee. The reasons for publishing the Technical Specification, and an explanation of its relationship to the expected future International Standard, shall be given in the foreword.

When a Technical Specification is used for “pre-standardization purposes”, the following text, completed as appropriate, shall be included in the Foreword:

“This document is being issued in the Technical Specification series of publications (according to the ISO/IEC Directives, Part 1, 3.1.1.1) as a “prospective standard for provisional application” in the field of ... because there is an urgent need for guidance on how standards in this field should be used to meet an identified need.

This document is not to be regarded as an “International Standard”. It is proposed for provisional application so that information and experience of its use in practice may be gathered. Comments on the content of this document should be sent to the ...[ISO Central Secretariat or IEC Central Office]...

A review of this Technical Specification will be carried out not later than 3 years after its publication with the options of: extension for another 3 years; conversion into an International Standard; or withdrawal.”

In IEC, Technical Specifications are subject to the same maintenance procedure as IEC Standards. The final paragraph of the above text will therefore need to be replaced by the relevant information on maintenance review dates (see also IEC Supplement to the ISO/IEC Directives, 2001, Clause 5 and Annex B).

**3.1.1.2** When the required support cannot be obtained for a final draft International Standard to pass the approval stage (see 2.7), or in case of doubt concerning consensus, the technical committee or subcommittee may decide, by a two-thirds majority vote of P-members voting, that the document should be published in the form of a Technical Specification. The reasons why the required support could not be obtained shall be given in the foreword to the Technical Specification.

**3.1.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Specification, the draft specification shall be submitted in machine-readable form by the secretariat of the technical committee or subcommittee to the office of the Chief Executive Officer within 4 months for publication.

**3.1.3** Technical Specifications shall be subject to review by the technical committee or subcommittee not later than 3 years after their publication. The aim of such review shall be to re-examine the situation which resulted in the publication of a Technical Specification and if possible to achieve the agreement necessary for the publication of an International Standard to replace the Technical Specification. In IEC, the date for this review shall be agreed in advance of the publication of the Technical Specification (maintenance review date).

### 3.2 Publicly Available Specifications (PAS)

**3.2.1** A PAS may be an intermediate specification, published prior to the development of a full International Standard, or, in IEC may be a “dual logo” publication published in collaboration with an external organization. It is a document not fulfilling the requirements for a standard.

**3.2.2** A proposal for submission of a PAS may be made by an A-liaison or D-liaison (see 1.17.2) or by any P-member of the committee.

**3.2.3** The PAS is published after verification of the presentation and checking that there is no conflict with existing International Standards by the committee concerned and following simple majority approval of the P-members voting of the committee concerned.

**3.2.4** At the same time, in IEC the PAS is entered into the regular work programme of the committee concerned with a view to transform it into an International Standard, using the regular procedures described in 2.4 to 2.8 or the Fast-Track Procedure (see F.2). In the case of an externally developed PAS, the PAS submitter should be invited to nominate the project leader.

**3.2.5** A PAS shall remain valid for an initial maximum period of 3 years. The validity may be extended for a single 3-year period, following which it shall be revised to become another type of normative document, or shall be withdrawn.

### 3.3 Technical Reports

**3.3.1** When a technical committee or subcommittee has collected data of a different kind from that which is normally published as an International Standard (this may include, for example, data obtained from a survey carried out among the national bodies, data on work in other international organizations or data on the “state of the art” in relation to standards of national bodies on a particular subject), the technical committee or subcommittee may decide, by a simple majority vote of P-members voting, to request the Chief Executive Officer to publish such data in the form of a Technical Report. The document shall be entirely informative in nature and shall not contain matter implying that it is normative. It shall clearly explain its relationship to normative aspects of the subject which are, or will be, dealt with in International Standards related to the subject. The Chief Executive Officer, if necessary in consultation with the technical management board, shall decide whether to publish the document as a Technical Report.

**3.3.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Report, the draft report shall be submitted in machine-readable form by the secretariat of the technical committee or subcommittee to the Chief Executive Officer within 4 months for publication.

**3.3.3** It is recommended that Technical Reports are regularly reviewed by the committee responsible, to ensure that they remain valid. Withdrawal of a Technical Report is decided by the technical committee or subcommittee responsible.

**3.3.4** For a summary of approval requirements for all stages and all deliverables, see Annex SN.

### 3.4 (ISO Only) International Workshop Agreements

For a description of the procedure applying to the development of International Workshop Agreements, see [Annex SR](#).

## 4 Meetings

### 4.1 General

**4.1.1** Technical committees and subcommittees shall use modern electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. A meeting of a technical committee or subcommittee should be convened only when it is necessary to discuss committee drafts (CD) or other matters of substance which cannot be settled by other means.

**4.1.2** The technical committee secretariat should look ahead with a view to drawing up, in consultation with the office of the CEO, a planned minimum 2-year programme of meetings of the technical committee and its subcommittees and, if possible, its working groups, taking account of the programme of work.

For comprehensive information on managing meetings, including identifying core aims, planning ahead, keeping momentum going in the inter-meeting periods, and writing meeting resolutions, refer to the ISO guidance note [Active and productive ISO technical meetings](#).

**4.1.3** In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

**4.1.4** In planning meetings, account should also be taken of the advantages for the speedy preparation of drafts of holding a meeting of the editing committee immediately after the meeting of the technical committee or subcommittee and at the same place.

### 4.2 Procedure for calling a meeting

#### 4.2.1 Technical committee and subcommittee meetings

**4.2.1.1** The date and place of a meeting shall be subject to an agreement between the chairman and the secretariat of the technical committee or subcommittee concerned, the Chief Executive Officer and the national body acting as host. In the case of a subcommittee meeting, the subcommittee secretariat shall first consult with the secretariat of the parent technical committee in order to ensure coordination of meetings (see also 4.1.3).

**4.2.1.2** A national body wishing to act as host for a particular meeting shall contact the Chief Executive Officer and the technical committee or subcommittee secretariat concerned.

The national body shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of any P-member of the technical committee or subcommittee for the purpose of attending the meeting.

For information relating to hosting meetings, refer to [Annex SO](#).

**4.2.1.3** The secretariat shall ensure that arrangements are made for the agenda to be circulated by the office of the CEO (in the IEC) or by the secretariat with a copy to the office of the CEO (in ISO) at the latest 4 months before the date of the meeting. All other basic documents, for example new work item proposals, shall be distributed by the same deadline.

Only those committee drafts for which the compilation of comments will be available at least 6 weeks before the meeting shall be included on the agenda and be eligible for discussion at the meeting.

Any other working documents, including compilations of comments on drafts to be discussed at the meeting, shall be distributed not less than 6 weeks in advance of the meeting.

For requirements relating to document distribution, refer to [Annex SF](#). A copy of the agenda and calling notice for a committee meeting shall be made available to the ISO Central Secretariat for information.

#### **4.2.2 Working group meetings**

**4.2.2.1** Working groups shall use modern electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. When a meeting needs to be held, notification by the convenor of the meetings of a working group shall be sent to its members and to the secretariat of the parent committee, at least 6 weeks in advance of the meeting.

Arrangements for meetings shall be made between the convenor and the member of the working group in whose country the meeting is to be held. The latter member shall be responsible for all practical working arrangements.

**4.2.2.2** If a working group meeting is to be held in conjunction with a meeting of the parent committee, the convenor shall coordinate arrangements with the secretariat of the parent committee. In particular it shall be ensured that the working group members receive all general information for the meeting, which is sent to delegates to the meeting of the parent committee.

#### **4.3 Languages at meetings**

The languages at meetings are English, French and Russian, and meetings are conducted in any one or more of these.

The national body for the Russian Federation provides all interpretation and translation into or from the Russian language.

The chairman and secretariat are responsible for dealing with the question of language at a meeting in a manner acceptable to the participants following the general rules of ISO or IEC, as appropriate. (See also Annex E.)

#### **4.4 Cancellation of meetings**

Every possible effort shall be made to avoid cancellation or postponement of a meeting once it has been convened. Nevertheless, if the agenda and basic documents are not available within the time required by 4.2.1.3, then the Chief Executive Officer has the right to cancel the meeting.

### **5 Appeals**

#### **5.1 General**

**5.1.1** National bodies have the right of appeal

- a) to the parent technical committee on a decision of a subcommittee;
- b) to the technical management board on a decision of a technical committee;
- c) to the council board on a decision of the technical management board,

within 3 months of the decision in question.

The decision of the council board on any case of appeal is final.



**5.1.2** A P-member of a technical committee or subcommittee may appeal against any action, or inaction, on the part of the technical committee or subcommittee, when the P-member considers that such action or inaction is

- a) not in accordance with
  - the Statutes and Rules of Procedure;
  - the ISO/IEC Directives; or
- b) not in the best interests of international trade and commerce, or such public factors as safety, health or environment.

**5.1.3** Matters under appeal may be either technical or administrative in nature.

Appeals on decisions concerning new work item proposals, committee drafts, enquiry drafts and final draft International Standards are only eligible for consideration if

- questions of principle are involved, or
- the contents of a draft may be detrimental to the reputation of ISO or IEC.

**5.1.4** All appeals shall be fully documented to support the P-member's concern.

## **5.2 Appeal against a subcommittee decision**

**5.2.1** The documented appeal shall be submitted by the P-member to the secretariat of the parent technical committee, with a copy to the Chief Executive Officer.

**5.2.2** Upon receipt, the secretariat of the parent technical committee shall advise all its P-members of the appeal and take immediate action, by correspondence or at a meeting, to consider and decide on the appeal, consulting the Chief Executive Officer in the process.

**5.2.3** If the technical committee supports its subcommittee, then the P-member which initiated the appeal may either

- accept the technical committee decision, or
- appeal against it.

## **5.3 Appeal against a technical committee decision**

**5.3.1** Appeals against a technical committee decision may be of 2 kinds:

- an appeal arising out of 5.2.3 above, or
- an appeal against an original decision of a technical committee.

**5.3.2** The documented appeal shall, in all cases, be submitted to the Chief Executive Officer, with a copy to the chairman and secretariat of the technical committee.

**5.3.3** The Chief Executive Officer shall, following whatever consultations he deems appropriate, refer the appeal together with his comments to the technical management board within one month after receipt of the appeal.

**5.3.4** The technical management board shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the Chairman of the technical management board shall form a conciliation panel.

The conciliation panel shall hear the appeal within 3 months and attempt to resolve the difference of opinion as soon as practicable. The conciliation panel shall give a final report within 3 months. If the conciliation panel is unsuccessful in resolving the difference of opinion,

this shall be reported to the Chief Executive Officer, together with recommendations on how the matter should be settled.

**5.3.5** The Chief Executive Officer, on receipt of the report of the conciliation panel, shall inform the technical management board, which will make its decision.

#### **5.4 Appeal against a technical management board decision**

An appeal against a decision of the technical management board shall be submitted to the Chief Executive Officer with full documentation on all stages of the case.

The Chief Executive Officer shall refer the appeal together with his comments to the members of the council board within one month after receipt of the appeal.

The council board shall make its decision within 3 months.

#### **5.5 Progress of work during an appeal process**

When an appeal is against a decision respecting work in progress, the work shall be continued, up to and including the approval stage (see 2.7).

## **Annex A**

### **(normative)**

## **Guides**

### **A.1 Introduction**

In addition to International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports prepared by technical committees, ISO and IEC publish Guides on matters related to international standardization. Guides shall be drafted in accordance with the [ISO/IEC Directives, Part 2](#).

Guides shall not be prepared by technical committees and subcommittees. They may be prepared by an ISO Policy Development Committee, an IEC Advisory Committee, an ISO Technical Advisory Group, or a Joint ISO/IEC Coordination Group. These bodies are referred to below as the "Committee or Group responsible for the project".

The procedure for preparation and publication of a Guide is as described below.

### **A.2 Proposal stage**

The procedure for proposing a new work item, and the criteria for its acceptance, shall be decided by the body to which the Committee or Group responsible for the project reports.

Once a project is accepted, the secretariat of the Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC are informed.

### **A.3 Preparatory stage**

The Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC have the opportunity to be represented during the preparation of the working draft.

### **A.4 Committee stage**

Once a working draft is available for circulation as a committee draft, the secretariat of the Committee or Group responsible for the project shall arrange for it to be circulated for comments to the members of the Committee or Group.

The time limit for replies shall normally be 3 months.

The Committee or Group responsible for the project shall examine the comments received and prepare a revised draft Guide.

### **A.5 Enquiry stage**

**A.5.1** The office of the CEOs shall circulate both the English and French texts of the revised draft Guide to all national bodies for a 4-month vote.

**A.5.2** The draft Guide is approved for publication as a Guide if not more than one-quarter of the votes cast are negative, abstentions being excluded when the votes are counted.

In the case of ISO/IEC Guides, the draft shall be submitted for approval to the national bodies of both ISO and IEC. The national bodies of both organizations need to approve the document if it is to be published as an ISO/IEC Guide.

If this condition is satisfied for only one of the organizations, ISO or IEC, the Guide may be published under the name of the approving organization only, unless the Committee or Group responsible for the project decides to apply the procedure set out in A.5.3.

**A.5.3** If a draft Guide is not approved, or if it is approved with comments the acceptance of which would improve consensus, the chairman of the Committee or Group responsible for the project may decide to submit an amended draft for a 2-month vote. The conditions for acceptance of the amended draft are the same as in A.5.2.

## **A.6 Publication stage**

The publication stage shall be the responsibility of the office of the CEO of the organization to which the Committee or Group responsible for the project belongs.

In the case of a Joint ISO/IEC Group, the responsibility shall be decided by agreement between the Chief Executive Officers.

## Annex B (normative) ISO/IEC procedures for liaison and work allocation

### B.1 Introduction

By the ISO/IEC Agreement of 1976 <sup>2)</sup>, ISO and IEC together form a system for international standardization as a whole. For this system to operate efficiently, the following procedures are agreed for coordination and allocation of work between the technical committees and subcommittees of both organizations.

### B.2 General considerations

The allocation of work between ISO and IEC is based on the agreed principle that all questions relating to international standardization in the electrical and electronic engineering fields are reserved to IEC, the other fields being reserved to ISO and that allocation of responsibility for matters of international standardization where the relative contribution of electrical and non-electrical technologies is not immediately evident will be settled by mutual agreement between the organizations.

Questions of coordination and work allocation may arise when establishing a new ISO or IEC technical committee, or as a result of the activities of an existing technical committee.

The following levels of coordination and work allocation agreement are available. Matters should be raised at the next higher level only after all attempts to resolve them at the lower levels have failed.

- a) **Formal liaisons** between ISO and IEC committees for normal inter-committee cooperation.
- b) **Organizational consultations**, including technical experts and representatives of the Chief Executive Officers, for cases where technical coordination may have an effect on the future activities of the organizations in a larger sense than the point under consideration.
- c) **Decisions on work allocation**
  - by the technical management boards or, if necessary,
  - the ISO/IEC Joint Technical Advisory Board (JTAB).

Questions affecting both ISO and IEC, on which it has not proved possible to obtain a common decision by the ISO Technical Management Board and the IEC Committee of Action, are referred to the ISO/IEC Joint Technical Advisory Board (JTAB) for decision (see 1.3.1).

### B.3 Establishing new technical committees

Whenever a proposal to establish a new technical committee is made to the national bodies of ISO or of IEC respectively, the proposal shall also be submitted to the other organization requesting comment and/or agreement. As a result of these consultations, two cases may arise:

- a) the opinion is unanimous that the work should be carried out in one of the organizations;
- b) opinions are divided.

In case a), formal action may then be taken to establish the new technical committee according to the unanimous opinion.

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<sup>2)</sup> ISO Council resolutions 49/1976 and 50/1976 and IEC Administrative Circular No. 13/1977.

In case b), a meeting of experts in the field concerned shall be arranged with representatives of the Chief Executive Officers with a view to reaching a satisfactory agreement for allocation of the work (i.e., organizational level). If agreement is reached at this level, formal action may be taken by the appropriate organization to implement the agreement.

In the case of disagreement after these consultations, the matter may be referred by either organization to the ISO/IEC Joint Technical Advisory Board (JTAB).

## **B.4 Coordinating and allocating work between ISO and IEC technical committees**

### **B.4.1 Formal liaison at TC level**

Most coordination needs arising between individual ISO and IEC committees are successfully dealt with through formal technical liaison arrangements. These arrangements, when requested by either organization, shall be honoured by the other organization. Requests for formal liaison arrangements are controlled by the offices of the CEOs. The requesting organization shall specify the type of liaison required, such as:

- a) full or selective exchange of committee documents;
- b) regular or selective attendance of liaison representatives at meetings;
- c) participation in a standing coordination (or steering) committee for selected ISO and IEC technical committees;
- d) setting up of a Joint Working Group (JWG).

### **B.4.2 Details of agreement**

**B.4.2.1** Continual efforts shall be made to minimize the overlap areas between IEC and ISO by entrusting areas of work to one of the two organizations.

For areas of work so entrusted, IEC and ISO shall agree through the JTAB on how the views and interests of the other organization are to be fully taken into account.

**B.4.2.2** Five working modes of cooperation have been established, as follows:

#### **Mode 1 – Informative relation**

One organization is fully entrusted with a specific work area and keeps the other fully informed of all progress.

#### **Mode 2 – Contributive relation**

One organization should take the lead of the work and the other should make written contributions where considered appropriate during the progress of this work. This relation also includes the exchange of full information.

#### **Mode 3 – Subcontracting relation**

One organization is fully entrusted with the realization of the work on an identified item, but due to specialization of the other, a part of the work is subcontracted and that part is prepared under the responsibility of the second organization. Necessary arrangements shall be made to guarantee the correct integration of the resulting subcontracted work into the main part of the programme. To this end, the enquiry and approval stages are handled by the organization being the main contractor for the standardization task.

#### **Mode 4 – Collaborative relation**

One organization takes the lead in the activities, but the work sessions and meetings receive delegates from the other who have observer status and who ensure the technical liaison with the other organization. Such observers should have the right to intervene in the debate but have no right to vote. The full flow of information is oriented through this liaison.

## **Mode 5 – Integrated liaison**

Joint Working Groups and Joint Technical Committees ensure integrated meetings for handling together the realization of standards under a principle of total equality of participation.

Joint Working Groups between technical committees of the two organizations shall operate in accordance with 1.11.5.

**B.4.2.3** The allocation of work between IEC and ISO for potentially overlapping areas will be set out as required in schedules or programmes which, when agreed by the relevant parties, will form addenda to this agreement.

A consequence of this agreement is that the parties agree to cross-refer to the relevant standards of the other in the respective competent fields of interest.

When the standard being referred to is updated, it is the responsibility of the body making the reference to take care of the updating of the reference where appropriate.

**B.4.2.4** The necessary procedures for enquiry and approval shall be realized by the organization entrusted with a particular standardization task, except as otherwise agreed by the two TMBs. In the case of standards published under the auspices of both organizations, the enquiry and approval stages shall be carried out in parallel in both ISO and IEC.

**B.4.2.5** For work for which one organization has assumed responsibility and for which there will be subcontracting of work to the other, the fullest account shall be taken of the interests participating in the subcontracted work in defining the objectives of that work.

**B.4.2.6** If there is a reason, during the development of the project, to change from one mode of operation to another, a recommendation shall be made by both technical committees concerned and submitted for approval to the two TMBs.

### **B.4.3 Cooperation of secretariats**

The secretariats of the TC/SCs from the two organizations concerned shall cooperate on the implementation of this agreement. There shall be a complete information flow on on-going work and availability on demand to each other of working documents, in accordance with normal procedures.

## **Annex C** (normative) **Justification of proposals for the establishment of standards**

### **C.1 General**

**C.1.1** Because of the large financial resources and manpower involved and the necessity to allocate these according to the needs, it is important that any standardization activity begin by identifying the needs, determining the aims of the standard(s) to be prepared and the interests that may be affected. This will, moreover, help to ensure that the standards produced will cover appropriately the aspects required. Any new activity shall therefore be reasonably justified before it is begun.

**C.1.2** It is understood that, whatever conclusions may be drawn on the basis of the annex, a prerequisite of any new work to be commenced would be a clear indication of the readiness of a sufficient number of relevant interested parties to allocate necessary manpower, funds and to take an active part in the work.

**C.1.3** This annex sets out rules for proposing and justifying new work, so that proposals will offer to others the clearest possible idea of the purposes and extent of the work, in order to ensure that standardization resources are really allocated by the parties concerned and are used to the best effect.

**C.1.4** This annex does not contain rules of procedure for implementing and monitoring the guidelines contained in it, nor does it deal with the administrative mechanism which should be established to this effect.

**C.1.5** This annex is intended primarily for use in the field of international standardization, but may be used in other fields.

**C.1.6** This annex is addressed primarily to the proposer of any kind of new work to be started but may serve as a tool for those who will analyse such a proposal or comment on it, as well as for the body responsible for taking a decision on the proposal.

### **C.2 Definitions**

#### **C.2.1**

##### **proposal for new work**

proposal for a new field of technical activity or for a new work item

#### **C.2.2**

##### **proposal for a new field of technical activity**

proposal for the preparation of (a) standard(s) in a field that is not covered by an existing committee (such as a technical committee) of the organization to which the proposal is made

#### **C.2.3**

##### **proposal for a new work item**

proposal for the preparation of a standard or a series of related standards in the field covered by an existing committee (such as a technical committee) of the organization to which the proposal is made

### **C.3 General principles**

**C.3.1** Any proposal for new work shall lie within the scope of the organization to which it is submitted.



NOTE For example, the objects of ISO are laid down in article 2.1 of its Constitution and of IEC in article 2 of its Statutes.

**C.3.2** Any proposal for new work shall include (at least) the following elements, in order to assess and justify the need for such work:

- title;
- scope;
- purpose and justification;
- programme of work;
- the resources to be provided;
- relevant documents;
- cooperation and liaison.

**C.3.3** The elements listed in C.3.2 may have slightly different interpretation for a new field of technical activity (proposal for a new committee) and for a new work item (proposal for a new standard in an existing committee). Their content is specified in more detail in C.4 and C.5. Examples of such proposals are offered in C.7 and C.8. (These examples are in considerable detail to illustrate the principles).

## **C.4 Elements to be clarified when proposing a new field of technical activity** (new committee)

### **C.4.1 Title**

The title shall indicate clearly yet concisely the field of technical activity which the proposal is intended to cover.

*Example:* "Machine tools"

### **C.4.2 Scope**

**C.4.2.1** The scope shall precisely define the limits of the field of activity. Scopes shall not repeat general aims and principles governing the work of the organization but shall indicate the specific area concerned.

*Example:* "Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure".

**C.4.2.2** If seemingly similar or related work is already in the scope of other committees of the organization or in other organizations, the proposed scope shall distinguish between the proposed work and the other work.

**C.4.2.3** The proposer shall indicate whether his or her proposal could be dealt with by widening the scope of an existing committee or by establishing a new committee.

### **C.4.3 Purpose and justification**

Details based on a critical study of the following elements shall be given wherever practicable:

- a) The specific aims and reason for the standardization activity, with particular emphasis on the aspects of standardization to be covered, the problems it is expected to solve or the difficulties it is intended to overcome;
- b) The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors;
- c) Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard(s)?

*Example:* Does it appear feasible to standardize a single practice for general use, or will it be more practical to standardize more than one practice or level?

- d) Timeliness of the standards to be produced: Is the technology reasonably stabilized? If not, how much time is likely to be available before advances in technology may render the proposed standards outdated? Are the proposed standards required as a basis for the future development of the technology in question?
- e) Urgency of the activity, considering the needs of other fields or organizations;
- f) The benefits to be gained by the implementation of the proposed standard(s); alternatively, the loss or disadvantage(s) if no standard is established within a reasonable time. Data such as product volume or value of trade shall be included and quantified.
- g) If the standardization activity is or is likely to be the subject of regulations or to require the harmonization of existing regulations, this should be indicated.

#### **C.4.4 Programme of work**

**C.4.4.1** The proposed programme of work shall correspond to and clearly reflect the aims of the standardization activities and shall, therefore, show the relationship between the subjects proposed.

**C.4.4.2** Each item on the programme of work shall be defined by both the subject and aspect(s) to be standardized (for products, for example, the items would be the types of products, characteristics, other requirements, data to be supplied, test methods, etc.).

**C.4.4.3** Supplementary justification may be combined with particular items in the programme of work.

**C.4.4.4** The proposed programme of work shall also suggest priorities and target dates.

#### **C.4.5 Relevant documents**

**C.4.5.1** Any known relevant documents (such as standards and regulations) shall be listed, regardless of their source.

**C.4.5.2** It would generally be helpful if the list of documents could be accompanied by an indication of their significance.

**C.4.5.3** When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendments) this shall be indicated with appropriate justification and a copy attached to the proposal.

#### **C.4.6 Cooperation and liaison**

**C.4.6.1** Relevant organizations or bodies with which cooperation and liaison should exist, shall be listed.

**C.4.6.2** In order to avoid conflict with, or duplication of efforts of, other bodies, it is important to indicate all points of possible conflict or overlap.

**C.4.6.3** The result of any communication with other interested bodies shall also be included.

#### **C.4.7 Secretariat duties**

The proposer shall indicate whether his organization is prepared to undertake the secretariat work required for the new field of activity proposed.

## **C.5 Elements to be clarified when proposing a new work item (new standard)**

### **C.5.1 Title**

The title shall indicate the subject matter of the proposed new standard.

*Example:* "Electrotechnical products – Basic environmental testing procedures"

### **C.5.2 Scope (and field of application)**

The scope shall give a clear indication of the coverage of the proposed new work item and, if necessary for clarity, exclusions shall be stated.

*Example:*

This standard lists a series of environmental test procedures, and their severities, designed to assess the ability of electrotechnical products to perform under expected conditions of service.

Although primarily intended for such applications, this standard may be used in other fields where desired.

Other environmental tests, specific to the individual types of specimen, may be included in the relevant specifications.

### **C.5.3 Purpose and justification**

**C.5.3.1** The purpose and justification of the standard to be prepared shall be made clear and the need for standardization of each aspect (such as characteristics) to be included in the standard shall be justified, as is required in C.4.3. The proposer shall include a statement to the effect that according to his knowledge there is no other work dealing with the subject proposed.

**C.5.3.2** If a series of new work items is proposed the purpose and the justification of which is common, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item.

### **C.5.4 Programme of work**

Target date(s) shall be indicated and, when a series of standards is proposed, priorities shall be suggested.

### **C.5.5 Relevant documents**

See C.4.5.

### **C.5.6 Cooperation and liaison**

See C.4.6.

### **C.5.7 Preparatory work**

The proposer shall indicate whether he or his organization is prepared to undertake the preparatory work required for the new work item. The proposer shall make every effort to submit a complete working draft with the proposal, or at least submit an outline. The proposer shall also nominate a project leader.

## **C.6 Matrix**

**C.6.1** To assist the proposer in ordering his thoughts in easily understandable terms, the matrix shown in C.9 may be helpful in establishing the purpose of the proposal and accordingly the aspects to be covered.

The proposer should identify on the vertical axis the main purpose(s) of the proposed new work. The aspects most relevant should then be identified opposite the appropriate purpose(s).

**C.6.2** It is recommended that a copy of any completed matrix be attached to the proposal.

The matrix in C.9 should be considered only as a model, because each characteristic and each test method may require its own column. It may be useful in the assessment of the proposal for the new work.

**C.6.3** For some subjects, the matrix may be used at a very early stage; for others, in parallel with the establishment of a committee programme of work and in any case, it may be modified as necessary. In other cases (especially for complex products), it may not be possible to answer the questions contained in the matrix until the work has reached some advanced stage. Even in these cases, it may be useful to construct an appropriate matrix as early as possible because it may reveal some gap or inconsistency which might otherwise remain unnoticed.

**C.6.4** Examples for the use of the matrix are given in C.10 and C.11.

## **C.7 Example of a proposal for a new field of technical activity**

**Proposer:** Slobovian National Standards Institution (SNSI), member body of ISO for Slobovia <sup>3)</sup>

**Title:** "Machine tools"

**Scope:**

"Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure. Excluded: standardization of electrical equipments used in machine tools (dealt with by IEC/TC 44)."

**Purpose and justification:**

The purpose of the proposed standardization is to promote the harmonization of national specifications and requirements concerning the main characteristics, interface, interchangeability, operating elements, operating symbols, safety devices, accuracy, testing, etc., relating both to the machine tools themselves and to related tools and fixtures.

Problems arise in international trade, not only in the machine tools themselves but in semi-finished parts, due to differences in the technical requirements that are valid in different countries, especially for safety requirements, methods of testing accuracy as well as compatibility of accessories.

The main interests expected to benefit from the proposed standardization are machine tool makers, machine tool users, toolmakers and specialized producers of machine tool parts and accessories. Also workers operating the machine tools will benefit from uniform operating elements and symbols.

International trade in machine tools is increasing rapidly, and industrialized countries export more and more machines <sup>4)</sup>. However, some industries face barriers to trade from time to time caused by differing requirements in regulations.

Recessions of the export volumes of some countries are partly caused by these barriers, to be removed or reduced by international standardization.

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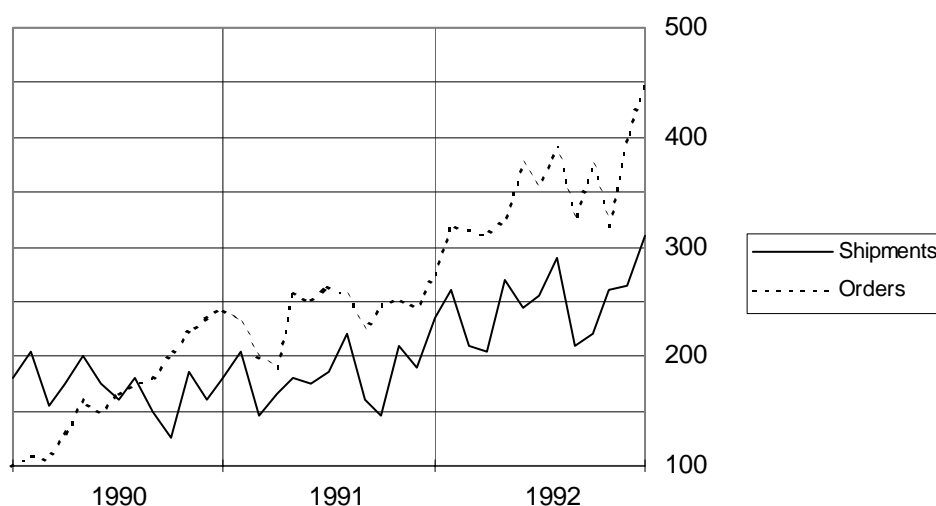
<sup>3)</sup> Taking the example of an imaginary country.

<sup>4)</sup> To illustrate this point, the proposer should attach tables, graphs, statistics or other supporting material.

Feasibility of the activity is apparent from the above facts. However the later international standardization is made, the more difficult the harmonization of national specifications will be. No other international organization is dealing with this standardization, hence the work is urgent.

The proposed standardization is timely since design and technology of machine tools are stabilized; nevertheless, further development is rapid, producing new types, new control systems, etc. World-wide need of these products is greater than the present world capacity, as shown in the figure.

Machine tool orders and shipments (\$million)



	(Millions of dollars)	Nov prelim	Oct final	Nov year ago
Not new orders, total		448,80	414,00	286,10
cutting		347,85	334,05	222,65
forming		100,95	79,95	63,45
Shipments, total		312,35	266,80	221,95
cutting		207,90	195,05	163,05
forming		104,45	71,75	58,90
Export orders		37,40	27,45	21,10
shipments		38,95	28,25	32,30
Backlogs, cutting		2873,8	2733,8	1747,4
forming		522,8	526,3	361,7
Cancellations, cutting		16,95	15,10	8,70
forming		4,60	4,1	2,05
Domestic orders, 3-month moving average				
cutting		287,9	267,2	177,0
forming		81,4	81,3	61,6

Source: National Machine Tool Builders' Association

**Figure C.1 — Orders and shipments of machine tools**

The benefits to be gained: specialized production and economical trade of standardized parts and units, international cooperation and trade, meeting safety requirements of importing parties, easy and safe handling and operation. <sup>5)</sup>

### Proposed work programme:

List of standards required	Suggested time to completion of task years
1 Machine tools – Speeds and feeds	3
2 Machine tool test codes	3
3 Symbols for indication appearing on machine tools	4
4 Machine tools – Direction of operation of controls	5
5 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 1: Type A	5
6 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 2: Camlock type	5
7 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 3: Bayonet type	5
8 Test conditions for surface grinding machines with vertical grinding wheel spindle and reciprocating table – Testing of accuracy	6
9 Test conditions for surface grinding machines with horizontal grinding wheel spindle and reciprocating table – Testing of accuracy	6
NOTE It is proposed that this list should be reviewed and supplemented as needed in due course.	

Relevant documents:

Available national documents

- France NF E60-101, -102, -105, -111, -112, -115, -116, -117, -121, -122, -123, -124, -131, -132.
- Japan JIS B 6330-74, 6331-74, 6332-77, 6333-77, 6334-77.
- Czech Republic CSN 20 0301, 20 0312, 20 0315, 20 0316, 20 0318.
- Poland PN-M-55330, 55331, 55332, 55340, 55350, 55351, 55356.
- USA NAS 913, 938, 953, 972, 979, 983, 985.

We consider that NAS 979, *Uniform cutting test. Metal cutting equipments specification* can be adopted as an ISO standard.

### Cooperation and liaison:

Liaison should be established with IEC/TC 44 dealing with electrical equipments used in machine tools.

### Secretariat duties:

The Slobovian National Standards Institution (SNSI) is prepared to undertake the secretariat duties of the proposed committee.

1996-11-05

D. Prath  
Director  
Slobovian National Standards Institution

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<sup>5)</sup> Supporting data on world machine tool production and trade should be presented.

## C.8 Example of a proposal for a new work item

**Proposer:** Slobovian National Standards Institution (SNSI), member body of ISO for Slobovia <sup>6)</sup>

**Title:** "Machine tools – Spindle noses and face plates – Sizes for interchangeability"

**Scope:**

The standard specifies the sizes for interchangeability of spindle noses and corresponding face plates of machine tools, including size and form tolerances, as well as position tolerances of the connecting surfaces.

**Purpose and justification:**

The purpose of the proposed standard is to specify a standardized choice of spindle noses and face plates as connecting parts of machine tools for tools and toolholders.

Slobovian importers and exporters of semi-finished castings and forgings have experienced considerable difficulties because of differing dimensions of spindle noses in different countries. It is expected that the proposed work will reduce these problems.

The main interests that might benefit from the proposed standard are: machine tool makers, machine tool users, tool makers, specialized producers of machine tooling and accessories.

International trade of machine tools and tooling increases rapidly. Standardized spindle noses and face plates will promote the utilization of standard tooling on various machines. Machining operations will be made more flexible.

The preparation of the proposed standard is feasible and timely, since based on experience of many years of practice, the use of 3 designs became generally accepted: the so-called "A-type", the "Camlock-type" and the "Bayonet-type". These 3 designs are stabilized and offer excellent performance. In order to establish a controlled variety of spindle noses, the standardization of these types is proposed. If necessary, the standard can be issued in 3 parts.

Suggested time to completion of task: 3 years.

The benefits to be gained: uniformity of spindle noses of machine tools delivered by various industries, enabling machine tool users to use the same standardized tool sets on several machine tools.

Possibility of producing standardized tooling by specialized tool making firms. International trade of machine tools and that of tooling. Interchangeability of tooling.

**Relevant documents:**

Available national documents:

- |                   |            |
|-------------------|------------|
| - United Kingdom: | BS 4442    |
| - USA:            | ANSI B 5.9 |
| - Germany:        | DIN 55021  |

**Cooperation and liaison:**

Liaisons should be established with ISO/TC 29, dealing with standardization of tooling.

**Preparatory work:**

The SNSI is willing to undertake the preparatory work.

1996-11-20  
D. Prath  
Director  
Slobovian National Standards Institution

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<sup>6)</sup> Taking the example of an imaginary country.

## C.9 Matrix for establishing the purpose of a proposal

Title:

Purpose of the proposed new work	Aspects to be covered in the standard(s)							
	Terminology, symbols, signs, designation	Characteristics	Sampling	Testing and inspection	Complementary requirements (labelling, packaging, storage, etc.)	Documentation, e.g. to accompany the product	Other aspects and requirements	
Mutual understanding and communication								
Safety, EMC, health, protection of the environment								
Achievement of interchangeability or interface or compatibility provisions								
Performance, function, quality								
Economy of energy and raw material								
Variety control (rationalization)								
Consumer protection								
Other purposes								



## C.10 Example of a matrix for establishing the purpose of a proposal for a new field of technical activity

**Title:** Machine tools

Purpose of the proposed new work	Aspects to be covered in the standard(s)							
	Terminology	Characteristics (see below)			Accuracy tests	Symbols appearing on machine tools	Modular units	Lubricants
		a)	b)	c)				
Mutual understanding and communication								
Safety, EMC, health, protection of environment	X			X		X		
Achievement of interchangeability or interface or compatibility provisions				X		X		
Performance, function, quality			X				X	
Economy of energy and raw material		X			X		X	X
Variety control (rationalization)								
Consumer protection			X					
Other purposes								

### Characteristics:

- a) overall internal height;
- b) speeds and feeds;
  - sizes of shanks;
  - sizes of T-slots and corresponding bolts;
  - sizes of grinding wheels;
  - sizes of spindle noses;
  - sizes of lathe centres;
- c) mounting of grinding wheels;
  - direction of operation of controls.

### C.11 Example of a matrix for establishing the purpose of a proposal for a new work item

**Title: Machine tools: spindle noses and face plates – sizes for interchangeability**

Purpose of the proposed new work	Aspects to be covered in the standard(s)							
	Terminology, symbols, signs, designation	Sizes and tolerances for interchangeability	Sampling	Testing and inspection	Complementary requirements (labelling, packaging, storage, etc.)	Documentation, e.g. to accompany the product	Other Aspects and requirements	
Mutual understanding and communication								
Safety, EMC, health, protection of environment								
Achievement of interchangeability or interface or compatibility provisions		X		X				
Performance, function, quality								
Economy of energy and raw material								
Variety control (rationalization)		X						
Consumer protection								
Other purposes								

## Annex D (normative)

### Resources of secretariats and qualifications of secretaries

#### D.1 Definitions

##### D.1.1

##### **secretariat**

national body to which has been assigned, by mutual agreement, the responsibility for providing technical and administrative services to a technical committee or subcommittee

##### D.1.2

##### **secretary**

individual appointed by the secretariat to manage the technical and administrative services provided

#### D.2 Resources of a secretariat

A national body to which a secretariat has been assigned shall recognize that, no matter what arrangements it makes in its country to provide the required services, it is the national body itself that is ultimately responsible for the proper functioning of the secretariat. National bodies undertaking secretariat functions shall become party to the ISO Service Agreement or [IEC Basic Agreement](#), as appropriate.

The secretariat shall therefore have adequate administrative and financial means or backing to ensure:

- a) facilities for word-processing in English and/or French, for providing texts in machine-readable form, and for any necessary reproduction of documents;
- b) preparation of adequate technical illustrations;
- c) identification and use, with translation where necessary, of documents received in the official languages;
- d) updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;
- e) reception and prompt dispatch of correspondence and documents;
- f) adequate communication facilities by telephone, telefax and electronic mail;
- g) access to the Internet;
- h) arrangements and facilities for translation, interpretation and services during meetings, in collaboration with the host national body, as required;
- i) attendance of the secretary at any meetings requiring his/her presence, including technical committee and/or subcommittee meetings, editing committee meetings, working group meetings, and consultations with the chairman when necessary;
- j) access by the secretary to basic International Standards (see the [ISO/IEC Directives, Part 2, Annex A](#)) and to International Standards, national standards and/or related documents in the field under consideration;
- k) access by the secretary, when necessary, to experts capable of advising on technical issues in the field of the committee.

Whilst the Chief Executive Officer endeavours to send his representative to the first meeting of a technical committee, to meetings of technical committees with new secretariats, and to any technical committee or subcommittee meeting where such presence is desirable for solving problems, the office of the CEO cannot undertake to carry out the work for a secretariat, on a permanent or temporary basis.

### D.3 Requirements of a secretary

The individual appointed as secretary shall

- a) have sufficient knowledge of English and/or French;
- b) be familiar with the *Statutes and rules of procedure*, as appropriate, and with the ISO/IEC Directives (see IEC Supplement to the ISO/IEC Directives and ISO Supplement to the ISO/IEC Directives);
- c) be in a position to advise the committee and any subsidiary bodies on any point of procedure or drafting, after consultation with the office of the CEO if necessary;
- d) be aware of any council board or technical management board decision regarding the activities of the technical committees in general and of the committee for which he is responsible in particular;
- e) be a good organizer and have training in and ability for technical and administrative work, in order to organize and conduct the work of the committee and to promote active participation on the part of committee members and subsidiary bodies, if any;
- f) be familiar with the documentation supplied by the offices of CEO, in particular the ISO/ITSIG *Guide for the use of IT in development and delivery of standards* and the IEC *Guide to the use of information technology in the IEC*.

It is recommended that newly appointed secretaries of technical committees should make an early visit to the office of the CEO in Geneva in order to discuss procedures and working methods with the staff concerned.

## Annex E (normative) General policy on the use of languages

### E.1 Expressing and communicating ideas in an international environment

At the international level, it is common practice to use at least two languages. There are a number of reasons why it is advantageous to use two languages, for example:

- greater clarity and accuracy of meaning can be achieved by expressing a given concept in two languages which have different grammar and syntax;
- if consensus is reached on the basis of a text drafted in only one language, difficulties may arise when it comes to putting that text into another language. Some questions may have to be rediscussed, and this can cause delay if the text originally agreed upon has to be altered. Subsequent drafting into a second language of a text already approved in the first language often brings to light difficulties of expression that could have been avoided if both versions had been prepared at the same time and then amended together;
- to ensure that international meetings will be as productive as possible, it is important for the agreements reached to be utterly devoid of ambiguity, and there has to be no risk that these agreements can be called back into question because of misunderstandings of a linguistic nature;
- the use of two languages chosen from two linguistic groups widens the number of prospective delegates who might be appointed to attend the meetings;
- it becomes easier to express a concept properly in other languages if there are already two perfectly harmonized versions.

### E.2 The use of languages in the technical work

The official languages are English, French and Russian.

The work of the technical committees and the correspondence may be in any one or more of these languages, whichever is or are appropriate.

For the purposes of the above, the national body for the Russian Federation provides all interpretation and translation into and from the Russian language.

### E.3 International Standards

International Standards are published by the ISO and IEC in English and in French (and sometimes in multilingual editions also including Russian and other languages, especially in cases of terminology). These versions of a given International Standard are equivalent, and each is regarded as being an original-language version.

It is advantageous for the technical content of a standard to be expressed in both English and French from the outset of the drafting procedure, so that these two versions will be studied, amended and adopted at the same time and their linguistic equivalence will be ensured at all times. (See also the [ISO/IEC Directives, Part 2, 2001, 4.5.](#))

This may be done

- by the secretariat or, under the latter's responsibility, with outside assistance, or
- by the editing committee of the responsible technical committee or subcommittee, or
- by national bodies whose national language is English or French and under an agreement concluded between those national bodies and the secretariat concerned.

When it is decided to publish a multilingual International Standard (a vocabulary, for example), the national body for the Russian Federation takes charge of the Russian portion of the text; similarly, when it is decided to publish an International Standard containing terms or material in languages other than the official languages, the national bodies whose national languages are involved are responsible for selecting the terms or for drafting the portions of text which are to be in those languages.

#### **E.4 Other publications developed by technical committees**

Other publications may be issued in one official language only.

#### **E.5 Documents for technical committee and subcommittee meetings**

##### **E.5.1 Documents prepared and circulated prior to the meeting**

The documents prepared and circulated prior to a meeting are the following.

###### **a) Draft agendas**

Draft agendas are prepared in both English and French whenever possible by the responsible secretariats and are reproduced and distributed.

###### **b) Committee drafts referred to in the agenda**

It is desirable that both the English and the French versions of committee drafts referred to in the agenda will be available for the meeting.

Enquiry drafts shall be available in English and French. The ISO Council or IEC Committee of Action guidelines shall be applied where one of the language versions is not available in due time.

Other documents (sundry proposals, comments, etc.) relating to agenda items may be prepared in only one language (English or French).

##### **E.5.2 Documents prepared and circulated during a meeting**

The documents prepared and circulated during a meeting are the following.

###### **a) Resolutions adopted during the meeting**

An ad hoc drafting committee, formed at the beginning of each meeting and comprising the secretary and, whenever possible, one or more delegates of English and/or French mother tongue, edits each of the proposed resolutions.

###### **b) Brief minutes, if any, prepared after each session**

If such minutes are prepared, they shall be drafted in English or French and preferably in both with, if necessary, the assistance of the ad hoc drafting committee.

##### **E.5.3 Documents prepared and circulated after a meeting**

After each technical committee or subcommittee meeting, the secretariat concerned shall draft a report of the meeting, which may be in only one language (English or French) and which includes, as annex, the full text of the resolutions adopted, preferably in both English and French.

#### **E.6 Documents prepared in languages other than English or French**

National bodies whose national language is neither English nor French may translate any documents circulated by secretariats into their own national language in order to facilitate the study of those documents by the experts of their country or to assist the delegates they have appointed to attend the meetings of the technical committees and subcommittees.

If one language is common to two or more national bodies, one of them may at any time take the initiative of translating technical documents into that language and of providing copies to other national bodies in the same linguistic group.

The terms of the above two paragraphs may be applied by the secretariats for their own needs.

## **E.7 Technical meetings**

### **E.7.1 Purpose**

The purpose of technical meetings is to achieve as full agreement as possible on the various agenda items and every effort shall be made to ensure that all delegates understand one another.

### **E.7.2 Interpretation of debates into English and French**

Although the basic documents may be available in both English and French, it has to be determined according to the case whether interpretation of statements expressed in one language should be given in the other language

- by a volunteer delegate,
- by a staff member from the secretariat or host member body, or
- by an adequately qualified interpreter.

Care should also be taken that delegates who have neither English nor French as mother tongue can follow the meeting to a sufficient extent.

It is impractical to specify rules concerning the necessity of interpreting the debates at technical meetings. It is essential, of course, that all delegates should be able to follow the discussions, but it may not be altogether essential to have a word-for-word interpretation of each statement made.

In view of the foregoing, and except in special cases where interpretation may not be necessary, the following practice is considered appropriate:

- a) for meetings where procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- b) at working group meetings, the members should, whenever possible, arrange between themselves for any necessary interpretation on the initiative and under the authority of the convenor of the working group.

To enable the secretariat responsible for a meeting to make any necessary arrangements for interpretation, the secretariat should be informed, at the same time as it is notified of attendance at the meeting, of the languages in which the delegates are able to express themselves and of any aid which delegates might be able to provide in the matter of interpretation.

In those cases where a meeting is conducted mainly in one language, the following practice should be adopted as far as is practicable in order to assist delegates having the other language:

- a) the decision taken on one subject should be announced in both languages before passing to the next subject;
- b) whenever a change to an existing text is approved in one language, time should be allowed for delegates to consider the effect of this change on the other language version;
- c) a summary of what has been said should be provided in the other language if a delegate so requests.

### **E.7.3 Interpretation into English and French of statements made in other languages**

When at a meeting of a technical committee or a subcommittee a participant wishes, in view of exceptional circumstances, to speak in any language other than English or French, the chairman of the session shall be entitled to authorize this, for the session in question, provided that a means of interpretation has been secured.

In order to give all experts an equal opportunity to express their views at meetings of technical committees and subcommittees, a very flexible application of this provision is recommended.



## Annex F (normative) Options for development of a project

### F.1 Simplified diagram of options

Project stage	Normal procedure	Draft submitted with proposal	"Fast-track procedure" <sup>1)</sup>	Technical Specification <sup>2)</sup>	Technical Report <sup>3)</sup>	Publicly Available Specification <sup>4)</sup>
<b>Proposal stage</b> (see 2.3)	Acceptance of proposal	Acceptance of proposal	Acceptance of proposal	Acceptance of proposal		Acceptance of proposal
<b>Preparatory stage</b> (see 2.4)	Preparation of working draft	<i>Study by working group <sup>5)</sup></i>		Preparation of draft		Approval of draft PAS
<b>Committee stage</b> (see 2.5)	Development and acceptance of committee draft	<i>Development and acceptance of committee draft <sup>5)</sup></i>		Acceptance of draft	Acceptance of draft	
<b>Enquiry stage</b> (see 2.6)	Development and acceptance of enquiry draft	Development and acceptance of enquiry draft				
<b>Approval stage</b> (see 2.7)	<i>Approval of FDIS <sup>6)</sup></i>	<i>Approval of FDIS <sup>6)</sup></i>	Approval of FDIS <sup>6)</sup>			
<b>Publication stage</b> (see 2.8)	Publication of International Standard	Publication of International Standard	Publication of International Standard	Publication of Technical Specification	Publication of Technical Report	Publication of PAS

Stages in *italics*, enclosed by dotted circles may be omitted.

1) See F.2.

2) See 3.1.

3) See 3.3.

4) See 3.2.

5) According to the result of the vote on the new work item proposal, both the preparatory stage and the committee stage may be omitted.

6) May be omitted if the enquiry draft was approved without negative votes

## F.2 “Fast-track procedure”

**F.2.1** Proposals to apply the fast-track procedure may be made as follows.

**F.2.1.1** Any P-member or category A liaison organization of a concerned technical committee may propose that an **existing standard from any source** be submitted for vote as an enquiry draft. The proposer shall obtain the agreement of the originating organization before making a proposal. The criteria for proposing an existing standard for the fast-track procedure are a matter for each proposer to decide.

**F.2.1.2** An international standardizing body recognized by the ISO or IEC council board may propose that a **standard developed by that body** be submitted for vote as a final draft International Standard.

**F.2.1.3** An organization having entered into a formal technical agreement with ISO or IEC may propose, in agreement with the appropriate technical committee or subcommittee, that a **draft standard developed by that organization** be submitted for vote as an enquiry draft within that technical committee or subcommittee.

**F.2.2** The proposal shall be received by the Chief Executive Officer, who shall take the following actions:

- a) settle the copyright and/or trademark situation with the organization having originated the proposed document, so that it can be freely copied and distributed to national bodies without restriction;
- b) for cases F.2.1.1 and F.2.1.3, assess in consultation with the relevant secretariats which technical committee/subcommittee is competent for the subject covered by the proposed document; where no technical committee exists competent to deal with the subject of the document in question, the Chief Executive Officer shall refer the proposal to the technical management board, which may request the Chief Executive Officer to submit the document to the enquiry stage and to establish an ad hoc group to deal with matters subsequently arising;
- c) ascertain that there is no evident contradiction with other International Standards;
- d) distribute the proposed document as an enquiry draft (F.2.1.1 and F.2.1.3) in accordance with 2.6.1, or as a final draft International Standard (case F.2.1.2) in accordance with 2.7.1, indicating (in cases F.2.1.1 and F.2.1.3) the technical committee/subcommittee to the domain of which the proposed document belongs.

**F.2.3** The period for voting and the conditions for approval shall be as specified in 2.6 for an enquiry draft and 2.7 for a final draft International Standard. In the case where no technical committee is involved, the condition for approval of a final draft International Standard is that not more than one-quarter of the total number of votes cast are negative.

**F.2.4** If, for an enquiry draft, the conditions of approval are met, the draft standard shall progress to the approval stage (2.7). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the document was attributed in accordance with F.2.2 b).

If, for a final draft International Standard, the conditions of approval are met, the document shall progress to the publication stage (2.8). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the FDIS was attributed in accordance with F.2.2 b), or by discussion between the originating organization and the office of the CEO if no technical committee was involved.

If the standard is published, its maintenance shall be handled by the technical committee/subcommittee to which the document was attributed in accordance with F.2.2 b), or, if no technical committee was involved, the approval procedure set out above shall be repeated if the originating organization decides that changes to the standard are required.

## **Annex G** (normative) **Maintenance agencies**

**G.1** A technical committee or subcommittee developing an International Standard that will require a maintenance agency shall inform the Chief Executive Officer at an early stage in order that a ISO/TMB or IEC Council Board decision may be taken in advance of the publication of the International Standard.

**G.2** The ISO/TMB or IEC Council Board designates maintenance agencies in connection with International Standards, including appointment of their members, on the proposal of the technical committee concerned.

**G.3** The secretariat of a maintenance agency should be attributed wherever possible to the secretariat of the technical committee or subcommittee that has prepared the International Standard.

**G.4** The Chief Executive Officer shall be responsible for contacts with external organizations associated with the work of a maintenance agency.

**G.5** The rules of procedure of maintenance agencies shall be subject to ISO/TMB or IEC Council Board approval and any requested delegation of authority in connection with the updating of the International Standard or the issuing of amendments shall be specifically authorized by the ISO/TMB or IEC Council Board.

**G.6** Any charges for services provided by a maintenance agency shall be authorized by the council board.

## **Annex H**

### **(normative)**

### **Registration authorities**

**H.1** A technical committee or subcommittee developing an International Standard that will require a registration authority shall inform the Chief Executive Officer at an early stage, in order to permit any necessary negotiations and to allow the ISO/TMB or IEC Council Board to take a decision in advance of the publication of the International Standard.

**H.2** The ISO/TMB or IEC Council Board designates registration authorities in connection with International Standards on the proposal of the technical committee concerned.

**H.3** Registration authorities should be qualified and internationally acceptable bodies; if there is no such organization available, such tasks may be conferred upon the office of the CEO by decision of the ISO/TMB or IEC Council Board.

**H.4** Registration authorities should be required to indicate clearly in their operations that they have been designated by ISO or IEC (for example, by including appropriate wording in the letterhead of the designated body).

**H.5** Registration functions undertaken by the registration authority under the provisions of the relevant International Standard shall require no financial contribution from ISO or IEC or their members. This would not preclude, however, the charging for services provided by the registration authority if duly authorized by the council board.



## Annex SA (normative)

### Basic reference works and information resources

#### SA.1 Introduction

The following listing identifies basic reference works that committee chairmen and secretariats should have available to them to facilitate the effective support of their respective roles. The listing is divided into that material which is considered to be an essential, and that which will be useful in specific circumstances. Much of this material is available for download from one or more of the information resources listed under SA.4. Some material may only be available in electronic format. Wherever possible, this is indicated.

This listing should not be presumed as being exhaustive, given that materials may be modified or added. It is recommended that on a periodic basis the listing of materials available from the Standards Developers' Information Site (SDIS — see SA.4) is reviewed. In addition, on request, an updating service is available for materials on the SDIS.

For reference works relating to the drafting of standards, reference should be made to *ISO/IEC Directives, Part 2, 2001*, Annex A.

#### SA.2 Works considered to be essential

- [ISO/IEC Directives, Part 1: Procedures for the technical work](#) \*
- [ISO/IEC Directives, Part 2: Rules for the structure and drafting of International Standards](#)
- [ISO Supplement — Procedures specific to ISO](#) \*

\* also available as a single consolidated document

#### SA.3 Other works

- ISO Memento
- [ISO Technical programme](#)
- [ISO Catalogue](#)
- [Guide for the use of IT in the development and delivery of standards](#)
- [Guidelines and policies for the protection of ISO's intellectual property \(ISO/GEN 09\)](#)
- [ISO policies and procedures for copyright, copyright exploitation rights and sales of ISO publications \(POCOSA\) \(ISO/GEN 20\)](#)
- [ISO Guide 69:1999 Harmonized Stage Code system \(Edition 2\) — Principles and guidelines for use](#)
- [Active and productive ISO technical meetings](#)
- [Provision of text and graphics in electronic form to ISO Central Secretariat](#)
- [Presentation of drafts for registration as DIS](#)
- [Presentation of revised texts of DIS for Registration as FDIS](#)
- [Model manuscript of a draft International Standard \(known as "The Rice Model"\)](#)

- [Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN \(Vienna Agreement\)](#)

## **SA.4 Information resources**

### **SA.4.1 ISO Online ([www.iso.ch](http://www.iso.ch))**

ISO Online is the principal ISO site providing a wide range of information on ISO and its activities. It is strongly recommended that this site is visited and explored as a means of obtaining a good overview of ISO and international standardization. Here will be found a range of information on ISO, its members and committees, international standardization and its importance to global trade, and ISO's products.

### **SA.4.2 Standards Developers' Information Site (SDIS) ([www.iso.ch/sdis](http://www.iso.ch/sdis))**

The SDIS is maintained by ISO Central Secretariat as a comprehensive one-stop source for all material originated by ISO that is linked to the development of International Standards, and related publications. The goals of the site are to:

- improve knowledge of what information and support is available;
- improve knowledge of what is required of ISO members and of the managers of ISO's committees in relation to the technical work programme;
- provide direct and immediate online access to information sources for the key participants in the standards development process.

### **SA.4.3 ISOTC server ([isotc.iso.ch/livelink/livelink/](http://isotc.iso.ch/livelink/livelink/))**

The ISOTC server provides access to a range of committee-specific information, including the guidelines and templates for the development of TC business plans, and also hosts the sites of ISO committees.

### **SA.4.4 World Standards Services Network ([www.wssn.net/WSSN/](http://www.wssn.net/WSSN/))**

World Standards Services Network (WSSN), is a network of publicly accessible World Wide Web servers of standards organizations around the world. Through the Web sites of its members, WSSN provides information on international, regional and national standardization and related activities and services.

### **SA.4.5 Other**

All draft and current business plans may be viewed online at <http://www.iso.ch/bp>.

All forms and standard letters are available for download from <http://www.iso.ch/sdis/forms>.

## Annex SB (normative)

### Formulating scopes of ISO technical committees and subcommittees

#### SB.1 Introduction

The scope of a technical committee or subcommittee is a statement precisely defining the limits of the work of that committee. As such it takes on a number of functions. For example, it assists those with queries and proposals relating to a field of work to locate the appropriate committee. It aids in avoiding the inadvertent overlapping of two committee's work programmes. It can also help guard against moving outside the field of activities authorized by the parent committee.

#### SB.2 Formulation of scopes

Rules for the formulation of scopes of technical committees and subcommittees are given in the *ISO/IEC Directives, Part 1, 2001*, 1.5.10.

In exceptional cases, explanatory material may be included if considered important to the understanding of the scope of the committee. Such material shall be in the form of "Notes", and shall be included as the final element of a scope, after any exclusion statements.

Thus, the order of the elements of a scope are:

- Basic scope;
- Exclusions (if any);
- Notes (if any).

#### SB.3 Exclusions

Exclusions shall be clearly specified. Where the exclusions are within the scope of one or more other existing ISO or IEC technical committees, these committees shall also be identified.

EXAMPLE 1 "Excluded: Those ... covered by ISO/TC ...".

EXAMPLE 2 "Excluded: Standardization for specific items in the field of ... (ISO/TC ...), ... (ISO/TC ...), etc.".

It is *not* necessary to mention self-evident exclusions.

EXAMPLE 3 "Excluded: Products covered by other ISO technical committees".

EXAMPLE 4 "Excluded: ... Specifications for electrical equipment and apparatus, which fall within the scope of IEC committees".



## SB.4 Scopes of committees related to products

Scopes of committees related to products shall clearly *indicate the field* which they intend to cover, in order to easily ascertain whether a particular product is, or is not, within that field.

EXAMPLE 1 “Standardization of ... and ... used in ...”.

EXAMPLE 2 “Standardization of materials, components and equipment for construction and operation of ... and ... as well as equipment used in the servicing and maintenance of ...”.

The limits of the scope can be defined by *indicating the purpose* of the products, or by *characterizing* the products.

The scope *should not enumerate the types* of product covered by the committee since to do so might suggest that other types can be, or are, standardized by other committees. However, if this is the intention, then it is preferable to list those items which are excluded from the scope.

The *enumeration of aspects* such as terminology, technical requirements, methods of sampling, test methods, designation, marking, packaging, dimensions, etc. suggests a restriction in the scope to those particular aspects, and that other aspects may be standardized by other committees. The aspects of the products to be standardized should therefore not be included in the scope unless it is intended that the scope is limited to those particular aspects.

If the scope makes no mention of any aspect, this means that the subject *in its entirety* is covered by the committee.

NOTE The coverage does not necessarily mean the need for preparing a standard. It only means that standards on any aspect, if needed, will be prepared by that committee and no other.

An example of unnecessary enumeration of aspects is as follows:

EXAMPLE 3 “Standardization of classification, terminology, sampling, physical, chemical or other test methods, specifications, etc.”.

Mention of priorities, whether referring to type of product or aspect, shall not appear in the scope since these will be indicated in the programme of work.

## SB.5 Scopes of committees not related to products

If the scope of a committee is intended to be limited to *certain aspects* which are unrelated, or only indirectly related to products, the scope shall only indicate the aspect to be covered (e.g. safety colours and signs, non-destructive testing, water quality). In the case of these particular committees, the possible limitations are so numerous that it would seem difficult to give any specific guidance at the present time.

For these committees, it is also applicable that the term *terminology* as a possible aspect of standardization should not be mentioned unless this aspect is the only task to be dealt with by the committee. If this is not the case, the mention of terminology is superfluous since this aspect is a logical part of any standardization activity.

## Annex SC (informative)

### Summary of the role and responsibilities of the chairman of an ISO committee

#### SC.1 Introduction

The *ISO/IEC Directives, Part 1, 2001* describes the basic responsibilities accepted by chairmen upon their appointment (see in particular 1.8.2).

The general elements of the responsibilities of a chairman of a technical committee or subcommittee — described in more detail below — are work programme management, committee management and general support, the management of meetings, and project management.

#### SC.2 Work programme management

- ensuring the establishment and ongoing maintenance of a business plan covering the activities of the technical committee and all groups reporting to the technical committee, including all subcommittees (technical committee chairmen only);
- cooperating with the TC chairman in the establishment and ongoing maintenance of the business plan (subcommittee chairmen only);
- ensuring the appropriate and consistent implementation and application of the committee's business plan to the activities of the TC or SC work programme;
- ensuring that the policy and strategic decisions of the Council and Technical Management Board are implemented in the committee.

#### SC.3 Committee management and general support

- guiding the secretary of the committee in carrying out his duties;
- advising the Technical Management Board on important matters relating to the technical committee via the technical committee secretariat (technical committee chairman only);
- advising the chairman of the parent technical committee on important matters relating to a subcommittee via the subcommittee secretariat (subcommittee chairman only);
- determining any requirements for advisory groups to assist the chairman and secretariat in tasks concerning coordination, planning and steering of the committee's work or other specific tasks of an advisory nature;
- assisting in the case of an appeal against a committee decision.

#### SC.4 Meetings

- assisting the secretariat in identifying the hosts and venues for meetings of technical committees and subcommittees;
- ensuring that at meetings all points of view expressed are adequately summed up so that they are understood by all present;
- ensuring that at meetings all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting.

## SC.5 Project management

- assist in obtaining consensus bearing in mind the definition of consensus given in the *ISO/IEC Directives, Part 1*;
- determining, with the advice of the secretariat, when there is consensus to progress a committee draft as a draft International Standard;
- confirming on the Report of voting (ISO Form 13) the decision regarding the progression of a draft International Standard;
- determining, with the advice of the secretariat and project leader if necessary, when agreement has been reached to progress a revised text of a draft International Standard as a final draft International Standard;
- assisting the secretariat in determining the appropriate action in the case of a proposed technical corrigendum, if necessary in consultation with the P-members of the technical committee or subcommittee.

## SC.6 Resources

For information on relevant reference works and information resources, see [Annex SA](#).

## Annex SD (informative)

### Summary of the role and responsibilities of the secretary and secretariat of an ISO committee

#### SD.1 Introduction

The *ISO/IEC Directives, Part 1, 2001* describes the basic responsibilities accepted by secretariats upon their appointment (see in particular 1.9.2).

The general elements of the responsibilities of a secretary of a technical committee or subcommittee — described in more detail below — are committee management and general support, reporting and advising, document management, the management of meetings, and project management.

#### SD.2 Committee management and general support

- nomination of new or replacement chairmen for committees;
- assisting in the establishment of subcommittees (technical committee secretariat only);
- initiating an enquiry amongst the P-members of the subcommittee concerned to invite nominations in the case of the re-allocation of a subcommittee secretariat (technical committee secretariat only);
- assisting in the development of the scope of committees;
- monitoring participation in the work of the committee, and in particular notifying ISO Central Secretariat where a P-member of a committee has been persistently inactive and failed to meet its obligations;
- establishing and maintaining liaison between committees and with other international organizations;
- maintaining close contact with ISO Central Secretariat, with the members of the committee and in the case of a subcommittee, with its parent technical committee regarding its activities, including those of its working groups;
- assisting in the case of an appeal against a committee decision.

#### SD.3 Reporting and advising

- providing periodic reports on progress of projects to the committee and, if required, to the Technical Management Board (technical committee secretariat only);
- providing periodic reports on progress of projects to the committee, and to the technical committee (subcommittee secretariat only);
- providing advice to the chairman, project leaders, and convenors on procedures associated with the progression of projects;
- updating the record of the status of the membership of the committee in conjunction with ISO Central Secretariat;
- maintaining a register of the membership of its working groups;
- reporting on meetings, progress of projects, changes of committee officers, etc.;

- responding to enquiries on projects and published standards.

#### **SD.4 Document management**

- numbering and distributing documents (includes distribution of all TC and SC documents to the committee members and ISO Central Secretariat);
- keeping records concerning committee work and the background to the publication of International Standards and other ISO deliverables.

#### **SD.5 Meetings**

- establishing and circulating the convening notice and meeting agenda, with a copy to ISO Central Secretariat;
- identifying the hosts and venues for meetings of technical committees and subcommittees;
- in the case of a subcommittee meeting, consulting with the secretariat of the parent technical committee in order to ensure coordination of meetings;
- determining requirements for interpretation between English and French during TC or SC meetings (see also *ISO/IEC Directives, Part 1, 2001, Annex F.6*);
- arranging for the circulation of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting;
- preparing compilations of comments on documents which appear on the agenda;
- establishment of the editing committee for the meeting;
- recording of decisions taken in a meeting and making these decisions available in writing for confirmation during the meeting;
- preparing the minutes of meetings.

#### **SD.6 Project management — General**

- assisting in the establishment of priorities and target dates for each project;
- notifying the names, etc. of all project leaders to ISO Central Secretariat;
- monitoring and reporting progress of all projects against the agreed target dates and mandatory time limits;
- proposing the cancellation of projects that are running significantly overtime, and/or which appear to lack sufficient support;
- initiating ballots and reviewing ballot results;
- arranging for the preparation of second language texts (in particular for DIS and FDIS) and ensuring their equivalence (see [Annex SP](#)) (for other guidance on language issues see also *ISO/IEC Directives, Part 1, 2001, Annex E*);
- preparing justification to the Technical Management Board for any proposals for the retention or re-establishment of projects which have exceeded the time limits.

## **SD.7 Project management — New projects**

- assisting in determining whether or not a proposed new project is sufficiently mature to progress to formal registration, or if outstanding issues indicate that retention as a "Preliminary Work Item" is opportune;
- ensuring that all new projects are justified, complying with the guidelines in the *ISO/IEC Directives, Part 1, 2001, Annex C*;
- determining what language versions are required for a new project, and making appropriate arrangements for the preparation of such texts at the most opportune time;
- circulating ballots on proposed new projects;
- reviewing the ballot results on a proposed new project, and proposing a course of action;
- registering approved new projects at ISO Central Secretariat;
- proposing, where appropriate, that a working group be constituted to progress individual projects.

## **SD.8 Project management — Preparatory stage**

- notifying ISO Central Secretariat of the availability of the first working draft;
- assisting in determining when a working draft may be converted to a committee draft.

## **SD.9 Project management — Committee stage**

- notifying ISO Central Secretariat of the availability of the first committee draft;
- submitting all committee drafts for committee review, with the associated ballot form (ISO Form 8);
- reviewing the ballot results on a committee draft and, in consultation with the chairman, proposing a course of action;
- ensuring that a final committee draft fully embodies decisions taken either at meetings or by correspondence;
- assisting the chairman in determining when there is consensus to progress the final committee draft as a draft International Standard;
- obtaining the text of a proposed draft International Standard in English and French (or obtaining approval for single-language voting);
- ensuring that the final committee draft complies with the requirements of *ISO/IEC Directives, Part 2* (see also guidance note [Presentation of drafts for registration as DIS](#), and the example illustrated in the [Model manuscript of a draft International Standard](#) (known colloquially as "The Rice Model");
- submitting the proposed draft International Standard to ISO Central Secretariat for enquiry vote (with ISO Form 8A) in the requisite formats.

## **SD.10 Project management — Enquiry stage**

- correcting texts returned by ISO Central Secretariat as a result of non-conformity to requirements, including the presentation requirements of the *ISO/IEC Directives, Part 2*;
- carrying out an initial review of ballot results and assisting the chairman in determining what further action is appropriate;
- submitting any comments to the project leader responsible for the up-dating of the project;
- ensuring that all comments on the DIS are addressed;

- assisting the chairman in determining when agreement has been reached to progress a revised text of a draft International Standard as a final draft International Standard;
- obtaining the text of the proposed final draft International Standard in English and French (or obtaining approval for single-language voting);
- ensuring that the proposed final draft International Standard complies with the requirements of *ISO/IEC Directives, Part 2* (see also guidance note [Presentation of revised texts of DIS for registration as FDIS](#), and the example illustrated in the [Model manuscript of a draft International Standard](#) (known colloquially as "The Rice Model");
- submitting to ISO Central Secretariat either only the report of voting (ISO Form 13 — without annexes if no decision taken), or the proposed final draft International Standard for approval vote together with ISO Form 13 — with annexes — and associated materials, such as drawings, in the requisite formats.

### **SD.11 Project management — Approval stage**

- ensuring that texts returned by ISO Central Secretariat as a result of non-conformity to processing requirements, including the presentation requirements of *ISO/IEC Directives, Part 2*, are corrected;
- checking the FDIS text as submitted for the approval vote (i.e. after editing) in order to identify and report errors that may have been introduced in the course of preparing the text in ISO Central Secretariat (i.e. a 'proof' check);
- noting technical comments, either for consideration during the next review or, where an FDIS has failed the approval vote, with a view to determining how the FDIS can be revised in order to obtain approval.

### **SD.12 Project management — Systematic reviews**

- either initiating a systematic review, or progressing a systematic review initiated by ISO Central Secretariat;
- receiving and reviewing returned ballots and proposing a course of action;
- determining the committee's position concerning the proposed course of action;
- confirming to ISO Central Secretariat the course of action, where appropriate registering new project(s);
- taking appropriate follow-up action.

### **SD.13 Project management — Technical corrigenda and amendments**

- considering any proposals for correction or amendment and taking the appropriate action.

### **SD.14 Resources**

The resources required of secretariats are described in the *ISO/IEC Directives, Part 1, 2001*, Annex D. Specific reference is made to these in the service agreement between ISO and each ISO member body holding one or more ISO committee secretariats.

A description of the recommended minimum specification of computer hardware and software considered appropriate to support the work of a secretariat is provided in the ITSIG publication [Guide for the use of IT in the development and delivery of standards](#).

For information on relevant reference works and information resources, see [Annex SA](#).

## **Annex SE** (informative)

### **Summary of the role and responsibilities of committee participants other than chairmen and secretaries**

#### **SE.1 Introduction**

This annex describes the responsibilities associated with the principle roles found among participants in the development of ISO deliverables. It should be noted that an individual may hold one or more roles. For example, it is possible for a project leader to also be a convenor. Or for a secretary to be a project leader. An exception to this possibility relates to chairmen and secretaries, who may not, within the same meeting, act in these roles and also as an ISO member representative.

#### **SE.2 Project leader**

- nominated by the proposer of a new project, appointed by the P-members of the committee;
- responsible for ensuring the orderly and timely progression of “their” project/s, including shared responsibility with the committee secretary for chasing projects;
- acts in a neutral and purely international capacity;
- may elect to constitute a working group, in which case will typically be the convenor;
- may prepare drafts, or may delegate task to another expert;
- advises on actions on comments received on drafts and on associated issues, where appropriate with the aid of working group members;
- active member of the TC/SC editing committee associated with “their” project/s (editor);
- must have access to appropriate resources for carrying out the development work;
- should be sure to have the backing of their sponsor to participate as a project leader.

#### **SE.3 Convenor**

- nominated by the parent committee, at the time of the establishment of a WG;
- responsible for the management or the activities of a working group (may be assisted by a secretary if they so wish);
- organizes meeting venue, in conjunction with the member of the working group in whose country the meeting is to be held (the latter member is responsible for all practical working arrangements);
- coordinates meeting arrangements with the secretariat of the parent committee;
- notifies meeting dates and other arrangements to WG members;
- distributes working documents to WG members;
- determines any needs for translation during the meeting.



## **SE.4 ISO member representative (including member of delegation to a meeting)**

NOTE See also *Liaison Representative* in SE.5 and SE.6, and *Expert* in SE.8.

- nominated by a P-member or O-member of the committee to assist in the representation of the member's views in the work of the committee concerned;
- participates in reviews of the work of the committee concerned, where appropriate by participating in meetings of the committee or its subgroups, including any editing committee(s);
- during meetings, provides support to the Head of Delegation (see SE.7);
- participates as an expert (see SE.8) in working groups and other subgroups of a committee as appropriate;
- assists the Head of Delegation in providing feedback to appropriate organizations to ensure the development of coherent national positions on matters under review in a committee.

## **SE.5 Liaison representative (liaisons between ISO committees or between ISO committees and IEC committees — internal liaison)**

- nominated by the ISO committee concerned to assist in the representation of the committee's views in the work of another committee;
- reviews documents circulated in the committee with a view to identifying matters of interest or importance to the committee represented;
- provides timely feedback and progress reports, in both directions;
- participates in reviews of the work of the committee concerned, including the submission of written comments, on matters within the competence of their own committee;
- participates in meetings of the committee or its subgroups, including any editing committee(s);
- does **not** have the right to vote in committee during formal ballots;
- during meetings provides support to any designated spokesman for the ISO committee concerned;
- participates as an expert (see SE.8) in working groups and other subgroups of a committee as appropriate;
- assists in avoiding overlap or duplication of effort between the committees concerned.

## **SE.6 Liaison representative (liaisons between committees and organizations in A or D liaison — external liaison)**

- nominated by the liaison organization concerned to assist in the representation of the organization's views in the work of the committee (A-liaison only) or working group concerned (A- and D-liaison organizations only);
- reviews documents circulated in the committee (A-liaison only) or working group concerned (A- and D-liaison organizations only) with a view to identifying matters of interest or importance to the organization represented;
- provides timely feedback and progress reports, in both directions, where appropriate assisting the Head of Delegation in this function;
- participates in reviews of the work of the committee (A-liaison only) or working group concerned (A- and D-liaison organizations only) concerned, including the submission of written comments, on matters within the competence of their own organization;

- participates in meetings of the committee (A-liaison only) or working group concerned (A- and D-liaison organizations only);
- does **not** have the right to vote in committee during formal ballots;
- during meetings provides support to any designated spokesman for the organization concerned;
- participates as an expert (see SE.8) in working groups and other subgroups of a committee as appropriate;
- assists in avoiding overlap or duplication of effort between the committee and organization concerned.

### **SE.7 Head of delegation (to a meeting)**

- designated by a P-member;
- indicates the national position - where appropriate by means of a vote - on all items during the meeting, including indication of those cases where due to lack of briefing a national position cannot be presented;
- ensures a homogenous national view is presented by all delegation members, or in those cases where this is not possible or appropriate, determining with delegation members which views may be presented to the committee;
- ensures the appropriate behaviour of members of the delegation during a meeting;
- provides feedback to the member body concerned in a manner that will facilitate its effective participation in future activities of the committee.

### **SE.8 Expert**

- nominated by P-members having agreed to participate in the project concerned, or by A-, D-liaison organizations, or by other ISO or IEC committees in liaison;
- acts in personal capacity, contributing on the basis of their own knowledge;
- expected to be resource persons to assist the project leader if requested;
- potentially serve as member of a working group if the responsible committee decides to establish a working group.

### **SE.9 Member of editing committee**

- appointed by the technical committee or subcommittee;
- assists with the updating and editing of committee drafts, draft International Standards and final draft International Standards and for ensuring their conformity to the requirements of the *ISO/IEC Directives, Part 2*;
- meets during committee meetings and when required at other times.

## **Annex SF**

### **(normative)**

## **Document distribution**

NOTE The distribution of paper is being phased out, to be superseded by techniques for the electronic exchange of documents. This follows in particular the adoption of electronic document management systems associated with electronic balloting at DIS and FDIS stage. For further information on the electronic exchange of documents and other uses of computing and communications to support standards development in ISO, reference may be made to the document [\*Guide for the use of IT in the development and delivery of standards \(ITSIG Guide\)\*](#).

PARTY(IES) CONCERNED	Proposal initiator	TC or SC secre- tariat	TC or SC P- members	TC or SC O- members	Category A liaisons	ISO Central Secr.	WG convener	WG experts	National bodies	TC or SC chairman
<b>DOCUMENTS</b>										
<b>Proposal stage</b>										
New work item proposal	*	●				○				
Copies of proposal + ballot paper		* <sup>1)</sup>	●	○	○	○				○
Completed ballot papers		●	*			○				
Result of voting	○	* <sup>1)</sup>	○	○	○	■				○
<b>Preparatory stage</b>										
Working draft(s) (WD)		○				○	*	●		
Final working draft		●				■	*	○		
<b>Committee stage</b>										
Committee draft(s) (CD)		*	●	○	○	○				○
Comments/Vote		●	*	☆	☆					
Compilation of comments + proposal		*	●	○	○	○	○			○
Reaction to proposal		●	☆							
Final committee draft		* <sup>1)</sup>				■	○			○
<b>Enquiry stage</b>										
Draft International Standard		○			○	*			●	
Completed ballot papers						●			*	
Result of voting + comments		● <sup>1)</sup>				*				●
Report of voting		*				●	○		○	○
Text for final draft International Standard		* <sup>1)</sup>				■	○			○
<b>Approval stage</b>										
final draft International Standard + ballot paper		○			○	*			●	
Completed ballot papers						●			*	
Result of voting		○				*			○	○
Final proof		●				*				
Proof corrections		*				●				
<b>Publication stage</b>										
International Standard		○				*			○	
<b>Systematic review</b>										
List of Standards for review		●				*				
Re-distribution of listing + ballot papers		*	●	○	○					○
Completed ballot papers		●	*							
Report of voting + proposal		*			○	■			○	○
* Sender of document ● Recipient for action ○ Recipient for information 1) In the case of an SC, a copy is also sent to the TC secretariat for information ■ Recipient for registration action ☆ Optional action										

## Annex SG (normative)

### Business Plans

#### SG.1 Objectives of a TC Business Plan

- 1) To demonstrate in an objective manner the specific benefits which result from, or are expected from, the work of this ISO/TC.

**NOTE 1** These benefits can vary significantly between different fields in which committees are involved: They can be economic (cost savings, reduced time to market, easier access to certain regional markets, lower sales prices), they can be social (improvement of safety for workers, measured in the reduction of accidents) or they can be the improvement of the environmental impact, for example.

- 2) To support prioritization and to improve the management of the technical work in a committee.

**NOTE 2** This includes the definition of target dates and the planning of resources for the work of the technical committee (and its SCs) in relation to the development of new and the maintenance of existing documents.

- 3) To increase the transparency in relation to the market forces and the percentage of market share represented within a committee.

All draft and current business plans may be viewed online at <http://www.iso.ch/bp>.

#### SG.2 Development tools and additional guidance

To facilitate the preparation of business plans, ISO Central Secretariat has developed a document template. This template and additional guidance may be downloaded from the ISOTC server (see [Annex SA](#)).

#### SG.3 Procedure for the development of a business plan

**SG.3.1** The committee secretary, in cooperation with some committee members and/or the committee chairperson, shall prepare a draft BP. The draft BP may be submitted to a TC internal consultation. Alternatively, the TC internal consultation may be conducted in parallel with the public review (see SG.3.3).

**SG.3.2** The Technical Management Board shall review the draft BP, taking into account the set of minimum requirements approved for BPs (see Table G.1). If a draft BP does not meet the defined requirements, it shall be rejected and returned to the TC secretariat for improvement.

BPs that receive a total of score of less than 10 points on the first four minimum requirements and/or that do not meet the fifth minimum requirement will be returned to the appropriate ISO/TCs for further development.

**SG.3.3** The draft BP is made available to the general public for review and comment on a publicly accessible server (<http://www.iso.ch/bp>) by ISO Central Secretariat for a three-months period. In parallel to this public review a full scale committee internal review may be conducted (alternatively, the committee consultation may have been conducted prior to submitting the draft BP for public comment). Member bodies are encouraged to inform the interested public in their countries of the availability of the BPs for public review and, if appropriate, to set links to the BPs on the ISO server.

The comments received during this period shall be reviewed by the committee in the process of preparing a final version of the TC BP.

**SG.3.4** The final and approved BP is made available publicly on an ISO server (<http://www.iso.ch/bp>) for the duration of its validity.

**Table SG.1 — Requirements for business plans of ISO technical committees**

Item	Description of Requirements	Score
1	Descriptions of relevant dynamics in the business environment related to the work of the ISO committee, and quantitative indicators of trends in this business environment and the acceptance and implementation of the ISO committee's standards.	1 to 5
2	Descriptions of tangible benefits that the standardization programme is expected to achieve for the business environment.	1 to 5
3	Descriptions of identified objectives of the ISO committee and strategies to achieve those objectives. This should include descriptions of specific actions that will be taken or that will be proposed to the ISO committee to better respond to the needs and trends of the business environment.	1 to 5
4	Descriptions of factors that may negatively impact the ISO committee's ability to achieve its objectives and implement its strategies, including information on the representation of the major market forces in the committee (geographically as well as by type, e.g. manufacturer, government, etc.).	1 to 5
5	Objective information regarding the ISO committee and its work programme that is required: <ul style="list-style-type: none"> <li>— title, and scope of the committee</li> <li>— names of the chairman and secretary;</li> <li>— time allocated to the ISO committee by the chair and secretary;</li> <li>— designation, title and current ISO stage for each project in the work programme;</li> <li>— priorities assigned to projects in the work programme (if the committee assigns priorities) with an explanation of the reasons/process for prioritization;</li> <li>— relationships of projects to European regional standardization (CEN);</li> <li>— target dates for each project, and explanations of any over-run target dates; and</li> <li>— time allocated to each project by working group convenors, project leaders/editors and for translation.</li> </ul>	No score  Mandatory information

## Annex SH (informative)

### Project stages, with timescales

The basic project management system adopted by ISO is a multistage system, that includes an optional preliminary phase (see also 2.1.6, and *ISO/IEC Directives, Part 1, 2001*, Table 1). All stages are sub-divided into sub-stages (see [Annex SD](#)). Mandatory time limits are specified for the main stages. The following table is a synthesis of these limits. Elapsed time is measured from registration at stage 20.00.

#### Potential (preliminary or proposed) projects

Project stage	Milestones	Action/deliverable	Sub-stage
Preliminary stage	Starts with ...	Receipt of proposed preliminary work item (PWI)	00.00
	Ends with ...	Rejected PWI/Proposed new work item proposal	00.98/00.99
Proposal stage	Starts with ...	Registration of New work item proposal (NP)	10.00
	Intermediate milestone ...	Ballot on NP	10.20
	Ends with ...	Rejected NP/approved new project	10.98/10.99

#### Active (approved) projects

Project stage	Milestones	Action/deliverable	Sub-stage	Recom. elapsed time, months
Preparatory stage	Starts with ...	Registration of approved new work item (AWI)	20.00	0
	Intermediate milestone ...	1st working draft (WD)	20.20	6
	Ends with ...	Approval to register 1st committee draft (CD) Proposed draft Technical Specification (DTS)	20.99	12
Committee stage	Starts with ...	Registration of Committee draft (CD) Registration of Draft Technical Specification (DTS)	30.00	—
	Intermediate milestone ...	Ballot/s on CD/s (incl. conversion to DIS) Ballots on proposed amendments Ballot on adoption of DTS as proposed TS	30.20	—
	Ends with ...	Proposed draft International Standard Proposed draft amendment Approved draft Technical Specification	30.99	—
Enquiry stage	Starts with ...	Registration of Draft International Standard (DIS) Registration of Draft amendment (DAM)	40.00	24
	Intermediate milestone ...	Ballot/s on DIS/s	40.20	—
	Ends with ...	Proposed final draft International Standard Proposed final draft amendment	40.99	—
Approval stage	Starts with ...	Registration of final draft International Standard (FDIS) Registration of Final draft amendment (FDAM)	50.00	30
	Intermediate milestone ...	Ballot on FDIS/FDAM	50.20	33
	Ends with ...	Rejected/approved text of International Standard/amendment	50.98/ 50.99	—
Publication stage	Starts with ...	Approved text of International Standard/ amendment/Technical Specification/ Technical Report	60.00	—
	Ends with ...	Publication of document	60.60	36

## Annex SI (normative)

### Matrix presentation of project stages

STAGE	SUB-STAGE						
	00	20	60	90			
	Registration	Start of main action	Completion of main action	Decision			
				92 Repeat an earlier phase	93 Repeat current phase	98 Abandon	99 Proceed
<b>00</b> Preliminary stage	<b>00.00</b> Proposal for new project received	<b>00.20</b> Proposal for new project under review	<b>00.60</b> Review summary circulated			<b>00.98</b> Proposal for new project abandoned	<b>00.99</b> Approval to ballot proposal for new project
<b>10</b> Proposal stage	<b>10.00</b> Proposal for new project registered	<b>10.20</b> New project ballot initiated	<b>10.60</b> Voting summary circulated	<b>10.92</b> Proposal returned to submitter for further definition		<b>10.98</b> New project rejected	<b>10.99</b> New project approved
<b>20</b> Preparatory stage	<b>20.00</b> New project registered in TC/SC work programme	<b>20.20</b> Working draft (WD) study initiated	<b>20.60</b> Comments summary circulated			<b>20.98</b> Project deleted	<b>20.99</b> WD approved for registration as CD
<b>30</b> Committee stage	<b>30.00</b> Committee draft (CD) registered	<b>30.20</b> CD study/ballot initiated	<b>30.60</b> Comments/ voting summary circulated	<b>30.92</b> CD referred back to Working Group		<b>30.98</b> Project deleted	<b>30.99</b> CD approved for registration as DIS
<b>40</b> Enquiry stage	<b>40.00</b> DIS registered	<b>40.20</b> DIS ballot initiated: <i>5 months</i>	<b>40.60</b> Voting summary dispatched	<b>40.92</b> Full report circulated: DIS referred back to TC or SC	<b>40.93</b> Full report circulated: decision for new DIS ballot	<b>40.98</b> Project deleted	<b>40.99</b> Full report circulated: DIS approved for registration as FDIS
<b>50</b> Approval stage	<b>50.00</b> FDIS registered for formal approval	<b>50.20</b> FDIS ballot initiated: <i>2 months</i> . Proof sent to secretariat	<b>50.60</b> Voting summary dispatched. Proof returned by secretariat	<b>50.92</b> FDIS referred back to TC or SC		<b>50.98</b> Project deleted	<b>50.99</b> FDIS approved for publication
<b>60</b> Publication stage	<b>60.00</b> International Standard under publication		<b>60.60</b> International Standard published				
<b>90</b> Review stage		<b>90.20</b> International Standard under periodical review	<b>90.60</b> Review summary dispatched	<b>90.92</b> International Standard to be revised	<b>90.93</b> International Standard confirmed		<b>90.99</b> Withdrawal of International Standard proposed by TC or SC
<b>95</b> Withdrawal stage		<b>95.20</b> Withdrawal ballot initiated	<b>95.60</b> Voting summary dispatched	<b>95.92</b> Decision not to withdraw International Standard			<b>95.99</b> Withdrawal of International Standard



## Annex SJ (normative)

### Numbering of documents

#### SJ.1 ISO documents

##### SJ.1.1 Working documents (including committee drafts)

###### SJ.1.1.1 TC and SC documents

Each document (including committee drafts — see also SJ.1.2) relating to the work of an ISO technical committee or subcommittee which is circulated to all or some of the member bodies shall bear, at the top right-hand corner of recto pages and at the top left-hand corner of verso pages, a reference number made up according to the rules set out below. The first page of the document shall also bear, immediately under the reference number, the date, written in accordance with ISO 8601 (Data elements and interchange formats — Information interchange — Representation of dates and times), on which the document was compiled.

Once a reference number is used for a working document, it shall not be used again for a document with differing wording and/or different contents. The same number may be used for a proposal and a voting form (optional). If a document replaces an earlier one, the first page of the new document shall bear, immediately under the reference number, the reference number(s) of the document(s) it replaces.

The reference number is made up of the following two parts separated by the letter N:

- 4) the number of the technical committee (TC) and, when applicable, the number of the subcommittee (SC) to which the working document belongs;
- 5) an overall serial number.

Thus, for a working document pertaining to a technical committee the reference number is made up as follows:

**ISO/TC *a* N*n***

For a working document pertaining to a subcommittee, it is made up as follows:

**ISO/TC *a*/SC *b* N*n***

where ***a*** stands for the number of the technical committee, ***b*** for the number of the subcommittee, and ***n*** for the overall serial number.

Reference within the number itself to the party originating the document (secretariat, member body, etc.) is not required; it is, however, recommended that the originator of the document be indicated underneath the title of the document where this is not otherwise apparent.

The overall serial number is assigned by the secretariat of a technical committee for all the working documents bearing the reference of this technical committee and by the secretariat of a subcommittee for all the documents bearing the reference of this subcommittee.

On the first page of a working document, it is recommended to make the overall serial number stand out, giving the figures a height of 6 mm to 10 mm.

#### EXAMPLE 1

ISO/TC 108 N **14** or ISO/TC 108 N **14**

ISO/TC 68/SC 3 N **25** or ISO/TC 68/SC 3 N **25**

The language of working documents may be indicated by adding the letter E, F or R, for English, French or Russian respectively.

#### EXAMPLE 2

ISO/TC 17 N **168 E** or ISO/TC 17 N **168 E**

ISO/TC 3/SC 2 N **28 F** or ISO/TC 3/SC 2 N **28 F**

ISO/TC 156/SC 3 N **5 R** or ISO/TC 156/SC 3 N **5 R**

Reference numbers of working documents, when they are quoted and repeated frequently, may be abbreviated by deleting the letters ISO, TC and SC.

#### EXAMPLE 3

ISO/TC 52 N 46 becomes 52 N 46

ISO/TC 22/SC 7 N 34 becomes 22/7 N 34

When enumerating documents which concern the same technical committee or subcommittee, it is not necessary to repeat the number of this committee.

#### EXAMPLE 4

documents 53 N 17, 18, 21

documents 86/2 N 51, 52, 60

#### SJ.1.1.2 Working group documents

While the basic principles of the numbering system described in I.1.1.1 may be useful for good order in the work of working groups, convenors of working groups are asked to bear in mind the need for speed and flexibility in their work. Any application of these rules which leads to delay is undesirable (e.g. it should not be necessary for the convenor to attribute a number to a document circulated by a working group member directly to the other working group members). However, see also I.1.2.

**SJ.1.2 Working drafts (WD), committee drafts (CD), draft International Standards (DIS) and International Standards**

When a new project is registered by ISO Central Secretariat (see 2.3.5), the latter will allocate an ISO number to the project. The number allocated will remain the same for the ensuing WD, CD and DIS and for the published International Standard. The number allocated is purely a registration and reference number and has no meaning whatsoever in the sense of classification or chronological order. The number allocated to a withdrawn project or International Standard will not be used again.

If the project represents a revision or amendment of an existing International Standard, the registered project will be allocated the same number as the existing International Standard (with, in the case of an amendment, a suffix indicating the nature of the document). If, however, the scope is substantially changed, the project may be given a different number.

Successive WDs or CDs on the same subject shall be marked “first working draft”, “second working draft”, etc., or “first committee draft”, “second committee draft”, etc., as well as with the working document number in accordance with I.1.1.

Successive DIS on the same subject will carry the same number but will be distinguished by a numerical suffix (.2, .3, etc.).

## Annex SK (informative)

### Summary of time limits associated with the development of International Standards

The *ISO/IEC Directives, Part 1, 2001* contain a number of time limits associated with the development of International Standards and other deliverables. The following table summarizes all the limits currently specified.

Activity	Action by	Time limit
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#### Time limits associated with progression of projects

Conversion of Preliminary Work Item to formal project (i.e. a NP)	secretary	No time limit specified, but PWI need to be subject to regular review
Ballot on NP	P-members of TC/SC	3 months, or at meeting
Result of vote on NP circulated to committee	secretary	No time limit specified, but recommended 6 weeks max. after close of ballot on NP
Availability of first WD (in relation to approval of project)	TC/SC	6 months (recommended) after approval of project
Availability of first CD (in relation to approval of project)	TC/SC	12 months (recommended) after approval of project
Comments on CD	Member bodies	3 months
Circulation of a new CD text after revision at a meeting	secretary	3 months max. after meeting
Compilation of comments on CD and circulation of proposal for future action	secretary	4 weeks max. after close of ballot. 6 weeks min. before meeting for review
Period available to comment on proposal for future action on CD	P-members of TC/SC	2 months max. after "proposal for future action" circulated
Submission of proposed DIS to ISO Central Secretariat	secretary	4 months max. after consensus reached
Circulation of proposed DIS for ballot	ISO Central Secretariat	4 weeks max. after receipt of text
Availability of DIS (in relation to approval of project)	TC/SC	24 months (recommended)
Ballot on DIS	Member bodies	5 months
Compilation of comments on DIS	ISO Central Secretariat	4 weeks max. after close of ballot

Activity	Action by	Time limit
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#### Time limits associated with progression of projects (contd.)

Circulation of result of review of votes on DIS and of proposal for future action	secretary	3 months max. after close of ballot on DIS
Period available to comment on proposal for future action on DIS	P-members of TC/SC	2 months max. after "proposal for future action" circulated
Submission of proposed FDIS to ISO Central Secretariat	secretary	4 months max. after close of ballot on DIS (if proposal for future action is "Approval")
Availability of FDIS (in relation to approval of project)	TC/SC	33 months (recommended) after approval of project
Circulation of FDIS	ISO Central Secretariat	Within 3 months of receipt
Ballot on FDIS	Member bodies	2 months
Proof-reading of FDIS	secretary	2 months (in parallel with member body ballot)
Report of voting on FDIS	ISO Central Secretariat	2 weeks after close of ballot on FDIS
Distribution of IS	ISO Central Secretariat	2 months after close of ballot on FDIS

#### Special time limits associated advancement of projects

Maximum time without progress before re-justification required (project considered stagnant)	secretary	24 months
Maximum time without progress (before automatic cancellation)	ISO Central Secretariat	36 months
Maximum overall development time (before automatic cancellation)	ISO Central Secretariat	84 months max. after approval of project

#### Time limits associated with systematic reviews

Periodicity of systematic review	secretary or ISO Central Secretariat	5 years max. for IS 3 years max. for TS, PAS, & IWA
Ballot on systematic review	P-members of committee	6 months
Circulation of proposed action following systematic review	secretary	3 months max. after end of ballot
Period available to comment on proposed action	P-members of TC/SC	2 months max. after proposal for future action circulated
Period between initiation of systematic review and initiation of proposed revision	TC/SC	No time limit specified, but if not immediately active then recommend registration as a PWI
Review of proposal to "withdraw" an IS	Member bodies	3 months

Activity	Action by	Time limit
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**Time limits associated with establishment and general management of committees**

Consideration of proposal to establish a new TC	ISO Central Secretariat	Immediately after proposal is received
Ballot on proposal to establish a new TC	member bodies	3 months
Review of results of ballot on proposal to establish a new TC, and decision	TMB	1 month
Establishment of liaisons with a TC	secretary	No time limit specified, but as soon as possible after decision to establish the committee
Formulation of "scope" of new committee	secretary	No time limit specified, but as soon as possible after establishment of the committee
Nomination of experts in new working group	P-members	6 weeks max. after setting-up of WG
Period of secretariat	ISO Central Secretariat	5 years max., subject to potential extension/s of 5 years max.
Change of secretariat	secretary	12 months notice
Period of chairmanship	secretary/ISO Central Secretariat	6 years max., subject to potential extension/s of 3 years max.
Change of chairman	chairman/secretary	No time limit specified, but as much notice as possible
Appeal against decision of a committee	member body	3 months max. after decision in question

**Time limits associated with meeting of committees and working groups**

Draft agenda for TC/SC meeting	secretary	4 months min. before meeting
Circulation of "basic documents" for review at TC/SC meeting	secretary	4 months min. before meeting
Circulation of comments on a ballot for review at TC/SC meeting	secretary	6 weeks before meeting
Minutes of meeting	secretary	No time limit specified, but recommended 3 months max. after meeting
Establishment of editing committee/s	secretary	Recommended established at beginning of each TC/SC meeting
First meeting of a working group	convenor	3 months max. after setting-up of WG
Notification of meeting of working group	convenor	Preferably 3 months min. before date of meeting

## Annex SL (informative)

### Summary — Monitoring of work programmes, and management of “late” projects

This annex proposes an approach to monitoring a work programme. However, the periods proposed reflect a simplification of programme review requirements and should in all cases be considered to be the maximum elapsed time before making the check described.

Being simplified, this scheme will not always ensure conformity to defined/approved time limits. For example, it may not identify projects which are late or stagnant at the time of a meeting, but which **will** become late or stagnant in the future period between meetings, and for which therefore some sort of forward plan may be needed.

**Period not specified but to be “subject to regular review”**

All Preliminary Work Items ...	... review progress to determine if it is appropriate to ...	Delete it from the programme of work; or Continue to classify it as a preliminary work item; or Propose circulation for ballot as a proposed (active) work item
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#### Work items to check at least every 6 months, if necessary between meetings:

Approved Work Items (stage 20.00). For any that ...	... has not advanced to Working Draft stage or further within the time limits laid down in the ISO/IEC Directives ...	Provide justification to TMB for its retention in the work programme; or Delete it from the programme of active work; or Re-classify it as a preliminary work item
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#### Work items to check at least every 12 months, if necessary between meetings:

All published standard, etc. subject that year to a systematic review ...	... review the results of the systematic review, and determine whether the document concerned should be ...	Confirmed, without change; or Amended or revised; or Proposed for withdrawal
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#### Work items to check at least every 24 months, and preferably every meeting if more frequent:

All “active” projects (stage 20.00 and above). For any that ...	... has not advanced within the time limits laid down in the ISO/IEC Directives ...	Provide justification to TMB for its retention in the work programme; or Delete it from the programme of active work; or Re-classify it as a preliminary work item
	... has not progressed for 2 years ...	Provide justification to TMB for its retention in the work programme; or Delete it from the programme of active work; or Re-classify it as a preliminary work item

Work items to check at least every 24 months, and preferably every meeting if more frequent (contd):

All “active” projects (stage 20.00 and above). For any that ...	... is not expected to progress after 3 years ...	Delete it from the programme of active work; or Re-classify as a preliminary work item; or Submit it to a 3 months vote for proposed re-establishment
	... no longer has the necessary support (see note) ...	Delete it from the programme of active work; or Re-classify as a preliminary work item
	... is not expected to reach publication stage after 7 years ...	Delete it from the programme of active work; or Re-classify as a preliminary work item; or Submit it to a 3 months vote for proposed re-establishment

NOTE “Necessary support” means conformity to the requirements for approval of a new work item as specified in the *ISO/IEC Directives, Part 1, 2001, 2.3.5*.



## Annex SM (informative)

### Intellectual Property Rights (IPR)

**Important note:** *The field of IPR is complex, and it is difficult to provide generalized guidance. The following is provided for information only, and without warranty of any kind. Questions on specific cases must be addressed to*

International Organization for Standardization  
Case postale 56  
CH-1211 Geneva 20  
Switzerland

Telephone: + 41 22 749 01 11  
Fax: + 41 22 749 09 47  
Internet: [copyright@iso.ch](mailto:copyright@iso.ch)

#### **SM.1 Material envisaged as comprising part or all of the content of an ISO publication**

The content of, for example, an International Standard may originate from a number of sources, including existing national standards, articles published in scientific or trade journals, original research and development work, descriptions of commercialized products, etc. These sources may be subject to one or more rights.

##### **SM.1.1 Copyright**

In ISO, there is an understanding that original material contributed to become a part of an ISO publication can be copied and distributed within the ISO system as part of the consensus building process, this being without prejudice to the rights of the original copyright owner to exploit the original text elsewhere. Where material is already subject to copyright, the right should be granted to ISO to reproduce and circulate the material. This is frequently done without recourse to a written agreement, or at most to a simple written statement of acceptance. Where contributors wish a formal signed agreement concerning copyright of any submissions they make to ISO, such requests must be addressed to the ISO Central Secretariat.

Attention is drawn to the fact that members of ISO have the right to adopt and re-publish any ISO standard as their national standard. Similar forms of endorsement do or may exist, such as with the current schemes for dual-numbering of ISO and European standards in the context of the European Committee for Standardization (CEN) standards development programme.

##### **SM.1.2 Reference to patent rights**

*See ISO/IEC Directives, Part 1, 2001, 2.14.*

##### **SM.1.3 Incorporating and/or referring to proprietary material in International Standards (including reference to trade names)**

The strong recommendation to standards developers is to avoid reference to commercialized items — including via the indication of trade names — in ISO publications. Nevertheless,

there is no objection in principle to describing in, say, a test method the use of items available only from a single commercial source or a limited number of commercial sources, even if the terms of the standard are such that there are no alternative means of compliance. In all such cases the standard form of words must be included, for instance an indication of a source and that the product is not endorsed by ISO (see *ISO/IEC Directives, Part 2, 2001* for further information).

## SM.2 Protection of ISO standards and related ISO publications

The protection of intellectual property is of crucial importance to ISO as a whole and its members individually. The document *Guidelines and policies for the protection of ISO's intellectual property*, set out the broad requirements that both ISO and its members should meet with regard to ISO standards and related ISO publications. The purpose of these guidelines is to ensure better protection of ISO's intellectual property and, consequently, that of its members. The ISO members and the ISO Central Secretariat should meet the requirements it lays out with regard to ISO International Standards and related ISO publications. These same guidelines are also recommended for application with regard to regional and national standards and related documents. The document contains sections on:

- standards in hard copy;
- promoting the fact that standards are copyright-protected material;
- protecting standards against infringements;
- clearly indicating the procedure to follow in case of reproduction;
- commercial transactions;
- standards in electronic format;
- copying arrangements;
- networking agreements;
- warning notice — README file;
- security devices.

It includes four important annexes:

Annex 1 — Instructions to ISO TC and SC secretariats on rules for copyright protection of ISO standards, FDIS and DIS, and of WD and CD;

Annex 2 — Policy concerning the distribution of ISO documents electronically for the preparation of standards;

Annex 3 — Description of reproduction rights organizations;

Annex 4 — Checklist of the elements forming part of any agreement designed for the reproductions of standards.

## Annex SN (informative)

### Summary — Approval requirements

For full details, including SVAT scoring procedures, etc. refer to the appropriate requirements in clauses 2 and 3.

Stages	International Standard	Technical Specification (when proposed as a new project)	Publicly Available Specification	Technical Report
Proposal stage				
Adoption of proposal for new deliverable	- SVAT score >15 - simple majority of P-members of the committee - 5-P members participating - 5 experts named			not applicable
Adoption of proposal for amendment or revision or transformation of deliverable	- SVAT score W9 - 5-P members participating - simple majority of P-members of the committee agree to the proposal			not applicable
Preparatory stage				
Acceptance of WD for circulation as CD	Not defined — determined by the committee secretary in conjunction with the committee			
Committee stage				
Acceptance of CD for submission as DIS	- consensus, or - support from 2/3 of the P-members voting	support from 2/3 of the P-members of the committee voting	simple majority of P-members of the committee	
Enquiry stage				
Acceptance for submission as FDIS	- 2/3 of P-members positive; - no more than ¼ votes negative	NA		
Approval stage				
Agreement to publish	- 2/3 of P-members positive; - no more than ¼ votes negative	NA		

## Annex SO (normative)

### Hosting meetings

#### SO.1 Who may host an ISO meeting?

Meetings may be hosted by:

- any ISO member (member body, correspondent member, subscriber member);
- any liaison member of the committee concerned.

It is not necessary for a host to be a direct participant in the work of the committee concerned, although that will typically be the case.

A potential host shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of any P-member of the technical committee or subcommittee for the purpose of attending the meeting. In some cases it may be necessary for special permission to be obtained for attendance — wherever possible the host should assist in determining if this is the case, but it is the joint responsibility of the secretariat or group leader, and the participant to determine any restrictions.

Given that some hosts may not have sufficient meeting facilities and/or other resources of their own, the main host — say an ISO member — may accept an invitation from another organization to assist by, for instance, providing a meeting location or organizing a welcoming event.

Irrespective of the actual host of a meeting, responsibility for the meeting concerned rests with the secretary (in the case of a technical committee or subcommittee, or similar groups) or group leader (in the case of working groups, ad-hoc groups, etc.). Thus, potential hosts should liaise directly with these individuals.

#### SO.2 Sponsorship of meetings

Large ISO meetings can be expensive and/or complicated to stage and support, and the resource requirements may exceed those that an ISO member can itself provide. It is therefore acceptable for a meeting to have one or more sponsors contributing to its organization and cost. Nevertheless, whilst it is acceptable for sponsors to be identified, and for their support to be recognized in the meeting, an ISO meeting shall not be used as an opportunity for the promotion for commercial or other reasons of the products or services of any sponsor (see also “Fees for delegates at ISO meetings”).

#### SO.3 Proposing or withdrawing support as a meeting host

The *ISO/IEC Directives, Part 1*, 2001 request that the following advance notice be given:

Meeting of ...	Advance notice of meeting date	Advance notice of meeting location
Technical committee or subcommittee	2 years	4 months
Working group	3 months	3 months

In general, the more notice the better in order that participants may make appropriate travel and business arrangements, and also obtain briefing, where appropriate.

If a host finds that they need to withdraw an offer, these notice periods should also be respected.

## **SO.4 Meeting locations**

In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

## **SO.5 Facilities to provide at meetings**

Any member body offering to host an ISO technical committee or subcommittee meeting undertakes to provide appropriate meeting facilities, including any provisions for interpretation (see “Interpretation facilities for meetings”), for the TC/SC, taking into account the normal attendance at such meetings and any requirements foreseen by the committee secretariat for facilities for parallel meetings (for example, of working groups, ad hoc groups or the drafting committee). The working facilities required during a meeting (i.e. additional to rooms) will vary from group to group. For TCs and SCs they will normally include word processing, printing, and photocopying facilities. Administrative support may also be needed. The host may be requested, but shall not be obliged, to provide separate facilities serving as the “chairman’s” or “secretariat” room.

The exact requirements should be determined by the committee secretariat or group leader. Some committee secretariats develop and maintain a standing document to advise member bodies of the facilities that will be required of any potential host of a meeting of the committee, which ensures clear understanding of what will be required. The host of a working group is also expected to provide all basic working facilities.

## **SO.6 Interpretation facilities at meetings**

The chairman and secretariat are responsible for dealing with the question of language at a meeting in a manner acceptable to the participants, following the general rules of ISO, as appropriate. The official languages at meetings are English, French and Russian, and meetings are conducted in any one or more of these. The typical language combinations are English and French, or English only. In the latter case, French may only be omitted with the explicit agreement of the francophone member(s). Thus, there may be an obligation on the host to provide interpretation between English and French. This needs to be determined in advance. Potential hosts may need to seek assistance from ISO Central Secretariat or from other P-members. The national body for the Russian Federation provides all interpretation and translation into or from the Russian language.

So far as the capabilities of translators (when required) are concerned, the guidance is:

- for meetings where final decisions on draft standards are expected to be taken, the services of an adequately qualified interpreter are generally required;
- meetings where “intermediary” or procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- at working group meetings, the members should, whenever possible, arrange between themselves for any necessary interpretation on the initiative and under the authority of the convenor of the working group.

## **SO.7 Welcoming activities and social events**

ISO is widely recognized and respected. It is therefore not unusual for formal ceremonies to be associated with, for example, the opening of a technical committee meeting. Such events are acceptable, but their incorporation within the meeting period is entirely at the option of the host, and typically subject to the approval of the secretary and chairman of the group/s concerned.

A host may also offer social events of one kind or another, perhaps with the aid of co-sponsors. As for welcoming events, social events are entirely optional (see also SO.8 "Fees for delegates at ISO meetings").

It is recognized that the inclusion of welcoming and social events significantly increases the time and cost, etc. of organizing a meeting. It may also increase the cost of participation. Given the pressures on the resources of all participants there is merit in the simplification of meetings. Above all, meetings must not become "competitive" events so far as hosts are concerned, in the sense that no host shall feel obliged, in any respect, to equal or exceed the welcoming and/or social facilities offered at any previous meeting.

## **SO.8 Fees for delegates at ISO meetings**

Accredited delegates shall not be obliged to pay a fee as a condition of their participation in ISO meetings. However, in very exceptional cases (e.g. large and complex meetings), some charging mechanism may be necessary, but such mechanisms shall be approved on a case-by-case basis by the Secretary-General of ISO.

There is no obligation on a host to provide social functions during ISO meetings but if a committee requests a host to organize social functions, the host shall have the right to require that the costs of holding such functions be borne by the delegates participating therein.

## **SO.9 Press attendance at ISO meetings**

Interest by the press or other media in ISO work is to be welcomed and the ISO Central Secretariat and many ISO member bodies have public relations and promotion services able to provide information to the press concerning ISO, ISO standards, and work in progress.

In recent years, there has been a growing interest on the part of some of the press to be present during meetings of particular ISO committees. Whilst this interest is, again, welcome, the presence of the press during an ISO meeting may inhibit the free and open discussion of issues. For this reason, members of the press shall not be permitted to be present during working sessions of ISO meetings. However participation by members of the press may be permitted during opening and closing ceremonies of ISO plenary meetings.

When members of the press express interest in a particular ISO meeting, therefore, appropriate arrangements should be made to hold press conferences and briefings outside the meeting sessions.

## **SO.10 Tape recording at ISO meetings**

The tape recording (or similar recording) of ISO meetings by the committee secretary is acceptable provided that at the outset of the meeting all participants are made aware that the meeting will be recorded and there are no objections. Individual participants shall have the right to require that the means of recording are switched off during a particular intervention if he or she so desires.

Such recordings are intended to aid the meeting secretary in preparing the minutes/report of the meeting. They may also be used to resolve disputes concerning what occurred at a meeting, which, in some instances, may require the preparation of transcripts of the recording.

The recordings and any transcripts are the property of the meeting secretary, who is expected to respect the confidentiality of ISO meetings. The recordings and transcripts shall accordingly not be divulged to third parties and should preferably be destroyed once the minutes have been approved.

## **Annex SP**

### **(normative)**

## **Second (and subsequent) language texts for ISO standards**

### **SP.1 Introduction**

Annex E of the *ISO/IEC Directives, Part 1, 2001* specifies the general policy on the use of languages as applied in ISO. This annex describes additional requirements concerning obtaining second and subsequent language texts. (English, French and Russian are the official ISO languages.)

### **SP.2 English and French**

#### **SP.2.1 Responsibilities**

It is the responsibility of the ISO committee secretariat to obtain (but not necessarily themselves prepare) texts in English and French for all ISO-only and ISO-lead (Vienna Agreement) projects, unless one of these language versions is not to be published (see clause SP.5, following). Translation of documents into English or French is typically (but not exclusively) carried out by the translation department of the member body of the UK (BSI) for English or France (AFNOR) for French, or by agents nominated to act on their behalf. Other options are possible (see *ISO/IEC Directives - Part 1: 2001*, Annex E).

#### **SP.2.2 Equivalence of texts**

The secretariat of a technical committee or subcommittee is responsible for ensuring the equivalence of the English and French texts during the development of an ISO deliverable, if necessary with the assistance of experts in the language(s) concerned. A recommended way of ensuring equivalence of texts is to establish a multilingual editing committee.

#### **SP.2.3 Timing of preparation of texts**

The ISO/IEC Directives note that the concomitant preparation of language versions is with advantage started as early as possible in the development cycle. It is preferable, but not required, that Committee Drafts are available in all envisaged language versions. Apart from aiding comprehension during development, this also serves to help avoid preparation-related delays at later stages.

Where a second language version is required, TC and SC secretariats shall provide the member body responsible for the second language with a copy of the first language version no later than when it submits the text to ISO Central Secretariat for processing as a DIS, such action being notified in writing.

#### **SP.2.4 Delays in receiving language versions**

In the case where a second language version of an Enquiry Draft (DIS) is not available at the time the first language version is sent to ISO Central Secretariat, if the second language version is not available within 60 days of the submission of the original text, ISO Central Secretariat is authorized to proceed with DIS voting and subsequent publication of the approved international standard in one language, the second language version being published when it becomes available.



If two or more language versions were circulated at the DIS Stage, then they should also normally be circulated simultaneously at the FDIS Stage, for final voting.

### SP.2.5 Updating language versions after ballot

In the case of preparation of a second or subsequent DIS, or the FDIS text, in order to facilitate the preparation of the second language text (where required), TC and SC secretariats should preferably provide the member body responsible for the second language version with a marked-up copy of the revised first-language DIS showing the changes to be made.

## SP.3 Russian

It is the responsibility of the Russian member body to determine those cases for which they consider a Russian version to be appropriate, and to provide all translation into or from the Russian language. ISO does not itself typically publish Russian-language versions of International Standards, except in those cases where Russian is one of the languages in a multilingual document, such as a vocabulary. In the case of the revision of a text with a corresponding Russian version, the committee secretariat shall liaise with the Russian member body to determine what is required.

## SP.4 Other languages

In the case of some multilingual documents, such as vocabularies or lists of equivalent terms, languages other than the official languages of ISO may be included. In such cases it is the responsibility of the committee secretariat to ensure that these language versions have been prepared and validated by those having an appropriate level of skill in the language(s) concerned.

In those cases where an ISO project is a joint project with CEN under the *Agreement on technical cooperation between ISO and CEN (Vienna Agreement)*, the preparation of a German version is a requirement. For more guidance reference should be made to the separate [\*Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN \(Vienna Agreement\)\*](#).

## SP.5 Single-language versions

It may exceptionally be proposed that an international document need only be developed in a single language, perhaps where there is only a limited interest in — say — francophone countries. Where this is envisaged, the explicit approval for progression as a single language version needs to be obtained as soon as possible. It may be useful, for example for future reference, if a formal record of the decision is obtained. Further language versions can always be prepared as a translation of the published text.

## SP.6 Translations

Under the terms of the *ISO Statutes*, as supplemented by the agreement *ISO policies and procedures for copyright, copyright exploitation rights and sales of ISO publications (ISO POCOSA)*, the member bodies of ISO may, under their sole responsibility, prepare translations into other languages of certain ISO publications and documents. For further information on the recognition of such translations, copyright, fees, etc., reference should be made to *ISO POCOSA*.

## Annex SQ (normative)

### Procedures for the standardization of graphical symbols

*[Note to first edition of the ISO Supplement: Both ISO/TC 10/SC 10 and ISO/TC 145 have internal procedures for the assessment of graphical symbols. These are currently in course of review and alignment with a view to ensuring a consistent approach across both committees. Once aligned they will be published in the ISO Supplement. During this alignment process, committees identifying the need for new or revised graphical symbols should request interim guidance from ISO Central Secretariat]*

#### SQ.1 Graphical symbols for use in technical product documentation (tpd)

ISO/TC 10 is responsible for the overall responsibility for standardization in the field of graphical symbols for technical product documentation (tpd). This responsibility includes

- maintenance of ISO 81714-1: Design of graphical symbols for use in the technical documentation of products – Part 1: Basic rules, in co-operation with IEC;
- standardization of graphical symbols to be used in technical product documentation, co-ordinated with IEC;
- establishing and maintaining a database for graphical symbols including management of registration numbers

Included is the standardization of symbols for use in diagrams and pictorial drawings.

ISO/TC 10 has allocated these responsibilities to ISO/TC 10/SC 10. The Secretariat of ISO/TC 10/SC 10 is supported by a maintenance group.

Any committee identifying the need for new or revised graphical symbols shall as soon as possible submit their proposal to the secretariat of [ISO/TC 10/SC 10](#) for review and — once approved — allocation of a registration number.

#### SQ.2 Graphical symbols for uses other than in tpd

ISO/TC 145 is responsible for the overall responsibility for standardization in the field of graphical symbols other than those for use in technical product documentation (tpd). This responsibility includes:

- progressing work items through ISO/TC 145 to respond to general needs for graphical symbols across all areas of application of graphical symbols within the scope of ISO/TC 145;
- progressing work items through ISO/TC 145 to define design principles and quality attributes of graphical symbol based communications;
- coordinating and advising on the work items/projects of other committees within ISO for work items involving graphical symbols;
- coordinating and advising on the work on graphical symbols of other standards organizations with official liaison to ISO.

ISO/TC 145 has allocated these responsibilities as follows:

- ISO/TC 145/SC 1 : Graphical symbols in the field of public information.
- ISO/TC 145/SC 2 : Graphical symbols in the field of safety signs.
- ISO/TC 145/SC 3 : Graphical symbols for use on equipment

The review and coordination role of ISO/TC 145 applies to all committees that undertake the responsibility for creation and standardization of graphical symbols within their own particular fields.

Any committee identifying the need for new or revised graphical symbols shall as soon as possible submit their proposal to the secretariat of the appropriate [ISO/TC 145 subcommittee](#) for review and — once approved — allocation of a registration number.

## Annex SR (normative)

### Procedure for the development of International Workshop Agreements (IWA)

#### SR.1 Proposals to develop IWAs

A proposal to hold an ISO workshop for the purpose of developing one or more IWAs on a particular subject may come from any source, including ISO member bodies, liaison organizations, corporate bodies etc. An organization that is not an ISO member body or liaison organization, or is not international in scope, shall inform the ISO member body in its country of its intent to submit such a proposal.

Whenever practicable, proposers shall provide details concerning:

- Purpose and justification of the proposal;
- Relevant documents; and
- Cooperation and liaison,

in accordance with the ISO/IEC Directives, Part 1, 2001, annex C.

Additionally, wherever possible, proposals shall include indication of an ISO Member Body willing to provide secretariat support to the IWA Workshop. If it is considered likely that participation in the workshop will need to be limited (see SR.5.2), this shall also be indicated.

In some circumstances, it may be considered that several meetings may be needed in order to reach a consensus. In such cases, the proposer is encouraged, or may be required by the Technical Management Board, to develop a business plan which would give details concerning meeting schedules, expected dates of availability of draft documents, the possibility that a workshop may establish project teams to progress work between meetings of the workshop, the expected date of availability of any IWA, etc.

#### SR.2 Review of proposals

Proposals will be referred to the Technical Management Board for approval. If the proposal is accepted, the TMB will initiate consultations with member bodies to identify a candidate willing to act as the organizer and to provide administrative and logistics support to the proposer. Preference will normally be given to:

- The member body from the country of the proposer, if the proposer is not a member body;  
or
- Member bodies holding secretariats in fields related to that covered by the proposal.

If there is more than one offer, the TMB will formally designate the member body assigned to act as the workshop secretariat. The assigned ISO member body may establish financial arrangements with the proposer to cover administrative and logistics support costs for the workshop. If a member body is not willing to act as workshop secretariat, the ISO/TMB may authorize the ISO Central Secretariat to fulfill this role, provided all associated costs are recovered by workshop registration fees.

An informative checklist for estimating IWA workshop costs is provided in SR.10.

The workshop secretariat and the proposer shall designate the chairman of the workshop

### **SR.3 Announcement**

Once the workshop secretariat and the proposer have agreed on a date and venue for the first meeting of the workshop, these shall be communicated to the ISO member bodies. These details shall be further announced by the workshop secretariat, the ISO Central Secretariat and by any other interested member bodies in the most appropriate way(s) to achieve the widest possible circulation (e.g. a publicly accessible website). This may include a number of different announcement options and media, but the intent is to ensure that the broadest range of relevant interested parties worldwide are informed of the workshop and have the opportunity to attend.

The proposer and workshop secretariat will ensure that any ISO committees with projects relevant to the subject will be invited to be represented at the workshop.

A registration fee may be applied to help support preparation and hosting of the workshop. Any registration fees shall be stated in the workshop announcement.

NOTE When the subject matter of a workshop is likely to be of interest to developing countries, it is recommended either that a funding mechanism other than a registration fee be applied to facilitate participation from such countries, or that a number of "free" registrations be permitted.

The announcement shall be made at least ~~60~~ 90 days in advance of the agreed date to allow potential attendees adequate time to plan on attending the workshop. The announcement shall be accompanied by a registration form to allow potential participants to register for the workshop. Registration forms shall be returned to the workshop Secretariat.

### **SR.4 Workshop information**

A workshop programme detailing workshop objectives, deliverables, agenda, draft documents and any other relevant details for the workshop shall be available, and circulated to registered participants, no later than six weeks prior to the workshop date. Registered participants may submit their own contributions to the workshop secretariat for further distribution to other participants.

### **SR.5 Participation**

#### **SR.5.1 Workshop chairmen**

The proposer and workshop secretary shall designate the chairman of any particular workshop. The chairman shall act in a purely international and neutral capacity and in particular shall

- Ensure that all points of view expressed during a workshop are adequately summed up so that they are understood by all present,
- Conduct the workshop with a view to reaching consensus,
- Ensure that all decisions are clearly formulated and, if needed, made available to the participants before closure of the meeting of the workshop.

## SR.5.2 Registered participants

Any organization may register as a participant in a workshop and participation will be open to the registered participants only. Participants are not required to be appointed by the ISO member body in their country.

The workshop secretariat, chairman and proposer shall endeavour to ensure that the broadest range of interests is represented in any workshop and that there is an appropriate balance of representation. If needed, this may require that some limitation be placed on participation (for example no more than two registered participants from the same corporate body or organization). If the need to limit participation is expected at the outset, this shall be indicated in the proposal submitted to the Technical Management Board. If a need for limitation becomes apparent after announcement of the workshop, this shall be authorized by the TMB secretariat following consultation with the TMB chairman and, if needed, other TMB members.

## SR.5.3 Project teams

In cases in which more than one meeting will be required to reach consensus, a workshop may establish one or more project teams to progress work between meetings of the workshop. The workshop shall designate the membership of such project teams, ensuring that their working methods will allow all interests to participate fully.

## SR.6 Workshop procedures and management oversight

Workshops will be permitted to work in a practically autonomous manner using very flexible procedures.

However, there are a number of general ISO policies which need to be respected, in particular those concerning intellectual property rights and the use of SI units. It shall be the responsibility of the workshop secretariat to ensure that the appropriate policies are known to registered participants and are respected.

Management oversight will be kept to the minimum required to ensure coordination with existing standardization activities if relevant and to ensure that appropriate resource is provided by the ISO system. It will be the responsibility of the workshop chairman to determine when consensus of the workshop participants has been reached on a particular item or deliverable. For the purposes of determining consensus, the workshop chairman shall apply the following definition contained in ISO/IEC Guide 2:1996:

*“General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity.”*

It should be noted that an IWA workshop may arrive at the consensus that an IWA deliverable is not necessary.

The workshop deliverables shall contain a description of the workshop consensus achieved including any recommendations for possible future actions or revisions to the workshop deliverables. The deliverable resulting from the workshop will proceed to publication based on the consensus of the workshop without additional reviews or approvals by any other body, except in the case of an appeal on such a deliverable (see immediately below).

## SR.7 Appeals

Any parties affected by the deliverable resulting from the workshop shall have the right of appeal for the following reasons:

- The workshop and the process to arrive at its deliverable have not complied with these procedures;
- The deliverable resulting from the workshop is not in the best interests of international trade and commerce, or such public factors as safety, health or the environment; or
- The contents of the deliverable resulting from the workshop conflict with existing or draft ISO standard(s) or may be detrimental to the reputation of ISO.

Such appeals shall be submitted within two months of the date of the workshop and shall be considered by the ISO Technical Management Board which in such circumstances will take the final decision concerning publication of an IWA.

## SR.8 Workshop deliverables and publication

Workshops will decide on the content of their own deliverables, but it is strongly recommended that the drafting rules in Part 3 of the ISO/IEC Directives be followed. The workshop secretariat and proposer shall be responsible for preparation of the text in compliance with Part 3 of the ISO/IEC Directives. Deliverables shall be sent to the ISO Central Secretariat for publication as Industry Technical Agreements. They will be numbered in a special IWA series.

IWAs may be published in one of the official ISO languages only and competing IWAs on the same subject are permitted. The technical content of an IWA may compete with the technical content of an existing ISO or IEC standard, or the proposed content of an ISO or IEC standard under development, but conflict is not normally permitted unless expressly authorized by the TMB.

## SR.9 Review of IWAs

Three years after publication, the member body which provided the workshop secretariat will be requested to organize the review of an IWA, consulting interested market players as well as, if needed, the relevant ISO committee(s). The result of the review may be to confirm the IWA for a further three year period, to withdraw the IWA or to submit it for further processing as another ISO deliverable in accordance with Part 1 of the ISO/IEC Directives.

An IWA may be further processed to become a Publicly Available Specification, a Technical Specification or an International Standard, according to the market requirement.

An IWA may exist for a maximum of six years following which it shall either be withdrawn or be converted into another ISO deliverable.

## SR.10 Checklist to estimate costs associated with hosting an ISO IWA Workshop (WS)

Completion of this checklist is NOT mandatory for the proposed hosting of an IWA. It is intended simply as a tool to assist proposers and assigned ISO member bodies in determining major costs associated with hosting an ISO IWA Workshop. Some of the sample costs provided may not be applicable to particular IWA Workshops, or may be covered in a different manner than is described below.

### SR.10.1 Overall measures to consider

Expected number of deliverables	
Expected number of Project Groups	
Expected number of participants	
Expected number of WS plenary meetings	
Expected number of Project Group meetings	

### SR.10.2 Planned Resources - Human Resource Requirements & Functions

Function	Who	Estimated Cost	Covered by ... (Who)	Commitment (Y/N)
<b>WS Secretariat</b> <ul style="list-style-type: none"> <li>— organizing WS plenary meetings</li> <li>— producing WS and project meeting reports and action lists</li> <li>— administrative contact point for WS projects</li> <li>— managing WS (and project group) membership lists</li> <li>— managing WS (and project group) document registers</li> <li>— follow-up of action lists</li> <li>— if the Workshop works mainly by electronic means, assist Chairperson in monitoring and follow-up of electronic discussion</li> </ul>				
<b>WS Chairperson</b> <ul style="list-style-type: none"> <li>— chairing WS plenary meetings</li> <li>— responsible for overall WS/project management</li> <li>— producing project management progress reports</li> <li>— acting as formal liaison with related WS/projects and liaison body</li> <li>— if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place between meetings, take necessary decisions</li> </ul>				
<b>WS Vice chairperson</b>				



If your WS will have 'Vice Chairperson(s)', you should list them here, along with their particular functions and fill-in the right side of this table.				
<b>Project Leader(s)</b> (where applicable) <ul style="list-style-type: none"> <li>— chairing project group meetings</li> <li>— producing project group meeting reports and action lists</li> <li>— preparing project group progress reports</li> <li>— if the Workshop works mainly by electronic means, follow and steer</li> <li>— electronic discussions that take place</li> <li>— regarding his/her particular project</li> </ul>				
<b>IWA Editor</b> <ul style="list-style-type: none"> <li>— editing of the IWA texts</li> <li>— attend meetings</li> <li>— follow discussions relating to the IWA (s) that he/she is editing</li> </ul>				

### SR.10.3 Planned Resources - Material Resource Requirements

Material Resource costs	Numbers	Estimated Cost per meeting	Covered by ... (Who)	Commitment (Y/N)
WS Meetings				
Meeting rooms				
Logistics (IT support, photocopies, etc.)				
Food and beverage				
Interpretation during meetings				

## Annex SS (normative)

### Forms and model letters

#### SS.1 Introduction

ISO has a range of standardized forms and model letters to aid in the progression of the work of a committee. This annex lists these, grouped according to function or activity. The individual forms are appended in ISO Form number order, followed by other forms, followed by model letters.

All forms and model letters are available in electronic format (typically MS Word and/or RTF format) for download from [www.iso.ch/sdis/forms](http://www.iso.ch/sdis/forms).

Additional paper copies of forms and model letters may be obtained on demand from ISO Central Secretariat (this service is due to be withdrawn with the migration of ISO to all-electronic operation).

#### SS.2 Proposal for a new field of technical activity (including establishment of a technical committee)

FORM 1	Proposal for a new field of technical activity
FORM 2	Vote on proposal for new field of technical activity
LETTER TC_Chair	Notification of appointment of technical committee chairman
LETTER Scopes	Modification of the title and scope of an ISO technical committee or subcommittee

#### SS.3 Establishment of a subcommittee

FORM 3	Decision to establish a subcommittee
LETTER SC_Chair	Notification of appointment of subcommittee chairman
LETTER Scopes	Modification of the title and scope of an ISO technical committee or subcommittee

#### SS.4 Establishment of a working group

LETTER Convenor_PL	Notification of appointment of new convenor/project leader
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## SS.5 Standards development

FORM 4	New work item proposal
FORM 5	Vote on new work item proposal
FORM 6	Result of voting on new work item proposal
FORM 7	Coverpage of committee draft
FORM 8	Vote on committee draft
FORM 8A	Explanatory report on committee draft
FORM 10	Vote on draft International Standard
FORM 13	Report of voting on ISO/DIS
Template for comments and secretariat observations	Generic table for comments and observations. May be associated with ISO Form 13, and to reports on other ballots
FORM 17	Vote on ISO/FDIS
FORM 20	Systematic review of International Standards
FORM 21	Report of voting on systematic review

## SS.6 Voting on Technical Specifications and Technical Reports

FORM Coverpage_TS	Cover page of Draft Technical Specification or Report
FORM Vote_TS	Vote on Draft Technical Specification or Report

## SS.7 Meetings

LETTER Agenda	Notice of meeting / Draft agenda
---------------	----------------------------------

## SS.8 Distribution of working papers, including Working Drafts

FORM Coverpage	Coverpage for committee working documents
FORM WD_coverpage	Coverpage for Working Drafts

## SS.9 Information to accompany submissions to ISO CS of proposed DIS or FDIS

Form EF-E	Dispatch of electronic files
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## PROPOSAL FOR A NEW FIELD OF TECHNICAL ACTIVITY

Date of proposal

Reference number  
(to be given by Central Secretariat)

Proposer

**ISO/TS/P**

A proposal for a new field of technical activity shall be submitted to the Central Secretariat, which will assign it a reference number and process the proposal in accordance with the ISO/IEC Directives (part 1, subclause 1.5). The proposer may be a member body of ISO, a technical committee or subcommittee, the Technical Management Board or a General Assembly committee, the Secretary-General, a body responsible for managing a certification system operating under the auspices of ISO, or another international organization with national body membership. Guidelines for proposing and justifying a new field of technical activity are given in the ISO/IEC Directives (part 1, annex Q).

### The proposal (to be completed by the proposer)

**Subject** (the subject shall be described unambiguously and as concisely as possible)

**Scope** (the scope shall define precisely the limits of the proposed new field of activity and shall begin with "Standardization of ..." or "Standardization in the field of ...")

**Purpose and justification** (the justification shall endeavour to assess the economic and social advantages which would result from the adoption of International Standards in the proposed new field)

**Programme of work** (list of principal questions which the proposer wishes to be included within the limits given in the proposed scope, indicating what aspects of the subject should be dealt with, e.g. terminology, test methods, dimensions and tolerances, performance requirements, technical specifications, etc.)

**Survey of similar work undertaken in other bodies** (relevant documents to be considered: national standards or other normative documents)

**Liaison organizations** (list of organizations or external or internal bodies with which cooperation and liaison should be established)

**Other comments** (if any)

Signature of the proposer

**Comments of the Secretary-General** (to be completed by the Central Secretariat)

Signature



VOTE ON PROPOSAL FOR NEW FIELD OF TECHNICAL ACTIVITY	
Date of circulation	Reference number
Closing date for voting	ISO/TS/P

Please send this form, duly completed, to the ISO Central Secretariat

<b>Subject</b>					
<b>Evaluation of market relevance of the proposal:</b> <i>(Not applicable to those member bodies who are abstaining. It is recommended that this evaluation be carried out by a reasonably large number of stakeholders and the average of the various points given be subsequently reflected on the voting forms.)</i>					
	low		high		
	1	2	3	4	5
1. What is the potential of the proposed new field of technical activity to contribute to international trade and production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. What is the potential of the proposed new field of technical activity to contribute to economic efficiency, health, safety or environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. How great is the need to harmonize national approaches in this subject area that may serve as barriers to international trade?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. What is the feasibility of achieving consensus on International Standard(s) in this subject area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. What priority should be assigned to the development of International Standard(s) in this subject area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(Comments, including proposals for modification of the scope, may be annexed.)	<b>Total points</b>				

Do you agree, as the responsible member body, that the requirements in Annex Q of Part 1 of the ISO/IEC Directives on the *Justification of proposals for the establishment of standards* have been met by this proposal?

☐ YES ☐ NO

☐ **We agree to the subject proposed being dealt with by ISO**

☐ We agree to the scope proposed

☐ We suggest that the scope be modified as follows:

☐ **We do not agree to the subject proposed being dealt with by ISO**

The reasons for our disagreement are the following:

☐ **We abstain/have no interest**

---

If a new technical committee is established,

- ☐ We are willing to undertake the secretariat  
(see 1.9 and annex E of part 1 of the ISO/IEC Directives)
- ☐ We wish to participate actively in the work (P-member)
- ☐ We wish to be kept informed of the progress of work (O-member)
- ☐ We do not wish to be either P- or O-member
- 

Standards, regulations and other relevant documentation existing in our country are listed hereafter, and where necessary any remarks concerning their application are given (attach a separate page as annex, if necessary).

- ☐ An annex is attached to this form.

Member body:

Date:

Name:

**DECISION TO ESTABLISH A SUBCOMMITTEE**

Date of decision

New subcommittee number

**ISO/TC****/SC**

This form shall be completed by the secretariat of the ISO parent technical committee concerned and be submitted to the Central Secretariat which will assign it a reference number and submit it to the Technical Management Board for ratification of the decision.

**Title of subcommittee** (the title shall be unambiguous and as concise as possible)

**Scope** (the scope shall define precisely the limits of the proposed field of activity of the subcommittee within the defined scope of the parent technical committee and shall begin with "Standardization of ..." or "Standardization in the field of ...")

**Purpose and justification** (the justification shall explain why it is considered necessary to establish a subsidiary body within the parent technical committee, taking into account the additional resources that will be required to operate the subcommittee secretariat)

**Programme of work** (list of principal questions which the parent technical committee wishes to be included within the limits given in the proposed subcommittee scope, indicating what aspects of the subject should be dealt with, e.g. terminology, test methods, dimensions and tolerances, performance requirements, technical specifications, etc.) (attach a separate page as annex, if necessary).



**Survey of similar work undertaken in other bodies** (relevant documents to be considered: national standards or other normative documents)

**Member bodies** (at least five P- or O-members of the parent technical committee, having expressed their intention to participate actively in the work of the subcommittee)

**Secretariat** (member body — one of those listed above — having confirmed its readiness to undertake the secretariat of the subcommittee) (see 1.9 and annex E of part 1 of the ISO/IEC Directives)

**Liaison organizations** (list of organizations or external or internal bodies with which cooperation and liaison should be established)

**Other comments** (if any)

Signature of the TC secretary



NEW WORK ITEM PROPOSAL	
Date of presentation	Reference number (to be given by the Secretariat)
Proposer	ISO/TC      / SC      N
Secretariat	

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee with a copy to the Central Secretariat and, in the case of a subcommittee, a copy to the secretariat of the parent technical committee. Proposals not within the scope of an existing committee shall be submitted to the secretariat of the ISO Technical Management Board.

The proposer of a new work item may be a member body of ISO, the secretariat itself, another technical committee or subcommittee, or organization in liaison, the Technical Management Board or one of the advisory groups, or the Secretary-General.

The proposal will be circulated to the P-members of the technical committee or subcommittee for voting, and to the O-members for information.

See overleaf for guidance on when to use this form.

**IMPORTANT NOTE: Proposals without adequate justification risk rejection or referral to originator.**

Guidelines for proposing and justifying a new work item are given overleaf.

**Proposal** (to be completed by the proposer)

<b>Title of proposal</b> (in the case of an amendment, revision or a new part of an existing document, show the reference number and current title)  English title   French title (if available)	
<b>Scope of proposed project</b>	
<b>Concerns known patented items</b> (see ISO/IEC Directives Part 1 for important guidance) <input type="checkbox"/> Yes <input type="checkbox"/> No    If "Yes", provide full information as annex	
<b>Envisaged publication type</b> (indicate one of the following, if possible) <input type="checkbox"/> International Standard <input type="checkbox"/> Technical Specification <input type="checkbox"/> Publicly Available Specification <input type="checkbox"/> Technical Report	
<b>Purpose and justification</b> (attach a separate page as annex, if necessary)	
<b>Target date for availability</b> (date by which publication is considered to be necessary)	
<b>Relevant documents to be considered</b>	
<b>Relationship of project to activities of other international bodies</b>	
<b>Liaison organizations</b>	<b>Need for coordination with:</b> <input type="checkbox"/> IEC <input type="checkbox"/> CEN <input type="checkbox"/> Other (please specify)
<b>Preparatory work</b> (at a minimum an outline should be included with the proposal) <input type="checkbox"/> A draft is attached <input type="checkbox"/> An outline is attached. It is possible to supply a draft by The proposer or the proposer's organization is prepared to undertake the preparatory work required <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Proposed Project Leader</b> (name and address)	<b>Name and signature of the Proposer</b> (include contact information)

**Comments of the TC or SC Secretariat****Supplementary information relating to the proposal**

- ☐ This proposal relates to a new ISO document;
- ☐ This proposal relates to the amendment/revision of an existing ISO document;
- ☐ This proposal relates to the adoption as an active project of an item currently registered as a Preliminary Work Item;
- ☐ This proposal relates to the re-establishment of a cancelled project as an active project.

Other:

**Voting information**

The ballot associated with this proposal comprises a vote on:

- ☒ Adoption of the proposal as a new project
- ☐ Adoption of the associated draft as a committee draft (CD)  
(see ISO Form 5, question 3.3.1)
- ☐ Adoption of the associated draft for submission for the enquiry vote (DIS or equivalent)  
(see ISO Form 5, question 3.3.2)

Other:

**Annex(es) are included with this proposal (give details)**☐

Date of circulation	Closing date for voting	Signature of the TC or SC Secretary

**Use this form to propose:**

- a)** a new ISO document (including a new part to an existing document), or the amendment/revision of an existing ISO document;
- b)** the establishment as an active project of a preliminary work item, or the re-establishment of a cancelled project;
- c)** the change in the type of an existing document, e.g. conversion of a Technical Specification into an International Standard.

This form is not intended for use to propose an action following a systematic review - use ISO Form 21 for that purpose.

Proposals for correction (i.e. proposals for a Technical Corrigendum) should be submitted in writing directly to the secretariat concerned.

**Guidelines on the completion of a proposal for a new work item**

(see also the ISO/IEC Directives Part 1)

**a) Title:** Indicate the subject of the proposed new work item.**b) Scope:** Give a clear indication of the coverage of the proposed new work item. Indicate, for example, if this is a proposal for a new document, or a proposed change (amendment/revision). It is often helpful to indicate what is not covered (exclusions).**c) Envisaged publication type:** Details of the types of ISO deliverable available are given in the ISO/IEC Directives, Part 1 and/or the associated ISO Supplement.**d) Purpose and justification:** Give details based on a critical study of the following elements wherever practicable. *Wherever possible reference should be made to information contained in the related TC Business Plan.*

1) The specific aims and reason for the standardization activity, with particular emphasis on the aspects of standardization to be covered, the problems it is expected to solve or the difficulties it is intended to overcome.

2) The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors.

3) Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard?

4) Timeliness of the standard to be produced: Is the technology reasonably stabilized? If not, how much time is likely to be available before advances in technology may render the proposed standard outdated? Is the proposed standard required as a basis for the future development of the technology in question?

5) Urgency of the activity, considering the needs of other fields or organizations. Indicate target date and, when a series of standards is proposed, suggest priorities.

6) The benefits to be gained by the implementation of the proposed standard; alternatively, the loss or disadvantage(s) if no standard is established within a reasonable time. Data such as product volume or value of trade should be included and quantified.

7) If the standardization activity is, or is likely to be, the subject of regulations or to require the harmonization of existing regulations, this should be indicated.

If a series of new work items is proposed having a common purpose and justification, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item.

**e) Relevant documents:** List any known relevant documents (such as standards and regulations), regardless of their source. When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendment), indicate this with appropriate justification and attach a copy to the proposal.**f) Cooperation and liaison:** List relevant organizations or bodies with which cooperation and liaison should exist.



VOTE ON NEW WORK ITEM PROPOSAL	
Date of circulation	Reference number
	<b>ISO/TC      / SC      N</b>
Closing date for voting	
Member body voting	

<b>ISO/TC      / SC</b>
Title
Secretariat

<p>Circulated to P-members of the committee for vote and to O-members for information.</p> <p><b>P-members of the technical committee or subcommittee concerned have an obligation to vote.</b></p>
---

**Please send this form, duly completed at all points, to the Secretariat indicated above** (not to ISO Central Secretariat). P-members voting "Abstain" need only complete Question 3.1. All other P-members need to respond to all questions.

**Important Note:** Incomplete forms may be considered invalid and not be counted when assessing results.

<p><b>Title of proposal</b></p> <p>English title</p> <p>French title (optional)</p>
---

## 1 Evaluation of market relevance of the proposal

*(P-members intending to vote 'We abstain' should not respond to this question)*

*It is recommended that this evaluation be carried out by a reasonably large number of stakeholders and the average of the various points given be subsequently reflected on the voting forms.)*

		low				high
		1	2	3	4	5
1.1	What is the potential of this project to contribute to international trade and production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	What is the potential of this project to contribute to economic efficiency, health, safety, or the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	How great is the need to harmonize national approaches in this subject area that may serve as barriers to international trade?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	What is the feasibility of achieving consensus on International Standard(s) in this subject area by the proposed target dates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	What priority should be assigned to the development of International Standard(s) in this subject area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Comments, including proposals for modification of the scope, may be annexed)

**Total points**

## 2 Justification of proposal

*(P-members intending to vote 'We abstain' should not respond to this question)*

Do you agree, as the voting member body, that the requirements in the ISO/IEC Directives, Annex C, 2001 on the *Justification of proposals for the establishment of standards* have been met by this proposal?

☐ Yes      ☐ No

ISO/TC      / SC      N

---

### 3 Vote

*(Response required from all P-members)*

*(P-members intending to vote 'We abstain' need only respond to 3.1)*

**3.1** We agree to the addition of the proposed New work item to the programme of work of the committee:

☐ Yes      ☐ No      ☐ We abstain / have no interest

**3.2** We are prepared to participate actively in the development of the project (even if voting "No"), i.e. to make an effective contribution at the preparatory stage, at least by commenting on working drafts:

☐ Yes\*      ☐ No

NOTE 1      All P-members voting "Yes" to questions 3.1 and 3.2 need to nominate an expert.

NOTE 2      P-members voting "No" to question 3.1 may nevertheless nominate experts.

\* Name(s) and address(es) of nominated expert(s)

### 3.3 Additional vote on an associated draft

NOTE   Question 3.3 is applicable only in those cases where an additional vote for adoption of a draft is indicated by the committee secretariat on the ISO Form 4 in the section "Voting information".

In such cases, answer **either** 3.3.1 **or** 3.3.2, as indicated on the New work item proposal.

**3.3.1** We agree to direct submission of the draft associated with the New work item proposal as a CD:

☐ Yes      ☐ No

**3.3.2** We agree to direct submission of the draft associated with the New work item proposal as a DIS  
(a vote "Yes" implies acceptance as a CD):

☐ Yes      ☐ No

If voting "No", to progression to a DIS, would you nevertheless agree with direct submission of the draft attached to the New work item proposal as a CD:

☐ Yes      ☐ No

### 4 Relevant documents

Standard(s), regulation(s), and other relevant documentation existing in our country, with any remarks concerning their application if necessary, are attached:

☐ Yes      ☐ No

If "Yes", please give references here, or as a separate annex:

### 5 Comments

☐ An annex is attached to this form

Member body voting

Date

Name



RESULT OF VOTING ON NEW WORK ITEM PROPOSAL			
Date	ISO/TC	/ SC	N
Title of TC/SC concerned			

To be completed by the secretariat and sent to the ISO Central Secretariat and to all P- and O-members of the TC or SC concerned, with a copy to the TC secretariat in the case of a subcommittee.

Proposal	ISO/TC	/SC	N	Circulation	Deadline
<b>Title</b> (new title if appropriate; French title to be indicated in all cases, even when no French version is envisaged) English title  French title					

<b>Results</b> (the compilation of results is given as an annex)  <b>The following criteria for acceptance have been met:</b> <input type="checkbox"/> Average points (y/x) awarded by P-members for market relevance greater than 15 <input type="checkbox"/> Approval by a simple majority of the voting P-members <input type="checkbox"/> 5 or more P-members voting approval have agreed to participate in the development of the project and have nominated an expert  <b>The proposal is therefore:</b> <input type="checkbox"/> <b>Approved</b> (all approval criteria met) <input type="checkbox"/> <b>Not approved</b> (one or more approval criteria not met)  <b>Associated draft</b> <input type="checkbox"/> no draft was associated with this ballot. A first draft is expected by (give date) <input type="checkbox"/> the associated draft is adopted as a working draft (WD) <input type="checkbox"/> the associated draft is approved as a Committee draft (CD) <input type="checkbox"/> the associated draft is approved as the proposed Draft International Standard (DIS)
--

<b>Further procedures</b> (attribution to TC/SC/WG, Project Leader, development procedure, meetings, etc.) <input type="checkbox"/> The project is to be first registered as a Preliminary Work Item (stage 10.00) <input type="checkbox"/> The project is to be immediately registered as an active work item <b>Other:</b>
---

<b>Experts</b> (give details below, or as a separate annex)
---

<b>Documents to be considered</b> (give details below, or as a separate annex)
--

<b>Target date for submission:</b> as a CD: as a DIS:	as a FDIS: for publication:
--	--------------------------------

<b>Secretariat</b>  <b>Secretary</b>
--

<b>Registration by the Central Secretariat</b> Date Allocated project number
--

☐ Other information, comments, etc. appended

### Compilation of the results of voting on ISO/NP

[illegible]

Abstentions and incomplete votes are not counted

**Total number of points awarded by voting P-members (y):**

**Total of P-members voting (x):**

**Average points per P-member voting (y/x):**



## COMMITTEE DRAFT ISO/CD

Date

Reference number

ISO/TC

/ SC

N

Supersedes document

**WARNING:** This document is not an International Standard. It is distributed for review and comment. It is subject to change without notice and may not be referred to as an International Standard.

ISO/TC / SC

Title

Secretariat

Circulated to P- and O-members, and to technical committees and organizations in liaison for:

☐

discussion at on  
[venue/date of meeting]

☐

comments by  
[date]

☐

approval for registration as a DIS in accordance with 2.5.6 of  
part 1 of the ISO/IEC Directives, by

[date]

(P-members vote only: ballot form attached)

**P-members of the technical committee or subcommittee  
concerned have an obligation to vote.**

*English title**French title*

Reference language version:

☐

English

☐

French

☐

Russian

Introductory note



**VOTE ON ISO/CD**

Date of circulation

Reference number

**ISO/TC****/ SC****N**

Closing date for voting

**ISO/TC      / SC**

Title

Secretariat

Circulated to P-members of the committee for voting on registration of the draft as a DIS.

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

**Please send this form, duly completed, to the Secretariat indicated above** (not to ISO Central Secretariat).

**ISO/CD**

English title

French title

☐ **We agree to the circulation of the draft as a DIS**☐ with comments (editorial or other)☐ **We do not agree to the circulation of the draft as a DIS**

The reasons for our disagreement are the following (use a separate page as annex, if necessary)

**Comments**☐ **See enclosure**☐ **We abstain**

Member body voting

Date

Name



EXPLANATORY REPORT RAPPORT EXPLICATIF	ISO/DIS
--	---------

<b>ISO/TC</b>	<b>/ SC</b>	Secretariat
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This form should be sent to the ISO Central Secretariat, together with the English and French versions of the committee draft, by the secretariat of the technical committee or subcommittee concerned.

Ce formulaire doit être envoyé au Secrétariat central de l'ISO en même temps que les versions anglaise et française du projet de comité, par le secrétariat du comité technique ou du sous-comité concerné.

The accompanying document is submitted for circulation to member body vote as a DIS, following consensus obtained from the P-members of the committee.

Le document ci-joint est soumis, pour diffusion comme DIS, au vote comité membre, suite au consensus des membres (P) du comité obtenu.

<div style="text-align: right; margin-bottom: 10px;">on</div> <input type="checkbox"/> at the meeting of <b>TC</b> / <b>SC</b> à la réunion du	see resolution No. _____ in _____ document voir résolution n° _____ dans le
<input type="checkbox"/> by postal ballot initiated on _____ par un vote par correspondance démarré le	

	Number	Countries
P-members in favour: Membres (P) approuvant le projet:		
P-members voting against: Membres (P) désapprouvant:		
P-members abstaining: Membres (P) s'abstenant:		
P-members who did not vote: Membres (P) n'ayant pas voté:		

Remarks/Remarques

I hereby confirm that this draft meets the requirements of part 2 of the ISO/IEC Directives Je confirme que ce projet satisfait aux prescriptions de la partie 2 des Directives ISO/CEI	
Date	Name and signature of the secretary Nom et signature du secrétaire



VOTE ON DRAFT INTERNATIONAL STANDARD ISO/DIS		
Date	ISO/TC	/SC
Member body voting	Secretariat	

Circulated to all member bodies for voting. All member bodies are invited to vote.

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

Please send this form, duly completed, and with any comments **to the ISO Central Secretariat.**

**ISO/DIS**

English title

French title

☐ **We approve the technical content of the draft**

☐ as presented

☐ with comments (editorial or other)

☐ **We disapprove for the technical reasons stated**

The reasons for our disapproval are the following (use a separate page as annex, if necessary)

☐ Acceptance of specified technical modifications will change our vote to approval

**Comments**

☐ **See enclosure**

☐ **We abstain**

Name



REPORT OF VOTING ON ISO/DIS	
Closing date of voting	<b>ISO/TC</b> <b>/SC</b>
Secretariat	

A report shall be returned to ISO/CS no later than 3 months after the closing date of voting on the DIS, whether or not comments have been reviewed and/or a new text has been prepared.

- ☐ **Preliminary report**  
*(submitted in those cases where comments are still to be considered and/or a decision has not yet been taken, or where it is decided that the nature of comments indicates a need for further consultation and/or reversion to a previous project development stage). To be followed by a 'Final report'. Any preliminary report is for ISO/CS for information, and is not circulated to member bodies)*
- ☐ **Final report**  
*(submitted either immediately, when all comments have been reviewed and a decision can be taken, or following a 'Preliminary report'. The final report is circulated by ISO/CS to member bodies, and is distributed with any associated DIS or FDIS text)*

**1 Result of the voting**

The above-mentioned document was circulated to member bodies with a request that the ISO Central Secretariat be informed whether or not member bodies were in favour of registration of the DIS as a Final Draft International Standard or for publication in the case of unanimous approval.

The vote closed on the date indicated above. The replies listed in annex A have been received.

**2 Comments received**

See annex B (if appropriate)

**3 Observations of the secretariat**

**4 Decision of the Chairman**

**Preliminary report** (no annexes required)

- ☐ The comments are under review and/or a decision on further procedure has not yet been taken
- ☐ The project is to revert to the Preparatory Stage (a new working draft will be developed)
- ☐ The project is to revert to the Committee Stage (a new committee draft will be developed)

**Final report**

- ☐ Having received 100% approval from the member bodies voting, the DIS is approved for direct publication without change other than editorial (no FDIS vote)  
*(Option not applicable to projects progressing under the Vienna Agreement)*
- ☐ A revised text is to be submitted to ISO/CS for the approval procedure (FDIS vote)
- ☐ A revised text is to be submitted to ISO/CS for a further enquiry (DIS) vote

**Remarks** (e.g. observations on how comments were reviewed, date by which a decision is to be taken, date when a text is expected)

**Enclosures**

- ☐ **Annex A**
- ☐ **Annex B**

Signature of the Secretary	Signature of the Chairman
Date	Date

[This page is for information only and is not for subsequent use]

**Form 13 Report of voting on draft International Standard  
Template for Annex B "Comments received"**

The following page is a table with the generic title ***ISO commenting template/Report of voting***. This table is in all respects identical to that used for the collection and submission of comments in the context of ISO's electronic balloting system.

[This page is for information only and is not for subsequent use]

**Form 13 Report of voting on draft International Standard  
Template for Annex B "Comments received"**

The following page is a table with the generic title ***ISO commenting template/Report of voting***. This table is in all respects identical to that used for the collection and submission of comments in the context of ISO's electronic balloting system.

[illegible]

<sup>1</sup> MB = Member body (Enter two-letter country code, e. g. CN for China)

<sup>2</sup> Type of comment:    **ge** = general                      **te** = technical                      **ed** = editorial

**NB Columns 1, 2, 4, 5 are compulsory**



## VOTE ON ISO/FDIS

Date

ISO/TC / SC

Member body voting

Circulated to all member bodies for voting. All member bodies are invited to vote.

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

To cast a vote on a Final Draft International Standard, member bodies shall complete and sign this ballot paper, **and return it to the Central Secretariat.**

If a member body votes affirmatively, it shall not submit comments. If a member body finds the FDIS unacceptable, it shall vote negatively and state the technical reasons.

### ISO/FDIS

English title

French title

☐ We approve the technical content of the draft as presented

☐ We disapprove for the technical reasons stated

### Comments

☐ See enclosure

☐ We abstain

Name





## SYSTEMATIC REVIEW OF INTERNATIONAL STANDARD

Closing date for voting

ISO/TC

/ SC

N

Member body voting

ISO/TC / SC

Title

Secretariat

Circulated to all P-members of the responsible committee for voting.  
Circulated to other member bodies for information.

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

To cast a vote as a part of the review of a published International Standard, all P-members of the responsible committee shall complete and sign this ballot paper, and return it **to the responsible committee Secretariat** (not to ISO Central Secretariat).

**Important Note:** Incomplete forms may be considered invalid and not be counted when assessing results.

ISO

English title

French title

## Evaluation of market relevance of the standard

What is the contribution of this standard to international trade and production?

What is the contribution of this standard to economic efficiency, health, safety, or the environment?

How extensive is the use of this standard, either directly or by national adoption, in your country?

low				high
1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Total points

## Recommended action:

Note: If the total points awarded for market relevance is less than 9, the standard should normally be proposed for withdrawal.

☐

withdraw

☐

revise/amend \*

☐

confirm

☐

confirm, with correction of errors \*

\* In case of revision/amendment, or of a proposed confirmation where there are nevertheless errors to correct, please identify the aspects concerned as an annex

## Priority for revision:

low				high
1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## National adoption or direct use (to be completed in all cases)

Has this International Standard been adopted or is it intended to be adopted in the future as a national standard or other publication? ☐ Yes ☐ No

If "yes" please indicate the number(s) of the corresponding national publication(s), as an annex.

If "yes", is the national publication identical to the International Standard?

☐

Yes

☐

No

If "no", if the differences are not already indicated as proposed changes with this vote, please identify the differences in relation to the International Standard as an annex.

If this International Standard has not been adopted or is not intended to be adopted in the future as a national standard or other publication, is this International Standard used "per se", i.e. with no change, as an ISO document? ☐ Yes ☐ No

**Additional remarks** to assist in this review, e.g. on usage of this publication, are invited. Please add them below or attach them as an annex.

Vote on

Doc.

ISO/TC

/SC

N

Member body voting

---

**Participation** (to be completed in all cases)

We are prepared to participate in a new project in the case that an amendment or revision is approved under the voting criteria for the acceptance of new work items: ☐ **Yes** ☐ **No**

If "yes", please give the name(s) and address(es) of your nominated experts:

Date	Name
------	------

**Annex — Additional comments relating to responses to questionnaire**

(e.g. reasons for proposing withdrawal, differences between a national standard and the International Standard, additional remarks on usage of this publication, etc.)



## RESULT OF SYSTEMATIC REVIEW OF ISO STANDARD

Date

ISO/TC

/ SC

N

Title of TC or SC concerned

This document is to be completed by the committee secretariat and circulated to all P- and O-members, organizations and committees in liaison, with copy to the ISO Central Secretariat and the TC secretariat in the case of a subcommittee.

Review	ISO/TC	/SC	N	Circulation	Deadline
<b>Reference number and title of International Standard</b> <b>ISO</b> English title French title					
<b>Results</b> (the compilation of results is given as an annex)					
<b>The following criteria have been met</b> <b>1</b> <input type="checkbox"/> Average points (y/x) awarded by P-members for market relevance is equal to or greater than 9 <b>2</b> A simple majority of voting P-members has proposed the following action: <b>a</b> <input type="checkbox"/> withdrawal <b>b</b> <input type="checkbox"/> revision/amendment <b>c</b> <input type="checkbox"/> confirmation (with or without correction) <b>3</b> <input type="checkbox"/> Has been adopted/is intended to be adopted (with or without change), or is used "per se", by at least 5 P-members <b>4</b> <input type="checkbox"/> No changes other than corrections are proposed by any P-member					
<b>In the light of results, this International Standard is proposed for:</b> <input type="checkbox"/> <b>Withdrawal</b> [criterion 1 not met - average points (y/x) < 9, see Note 1] Note 1: If the average points scored is less than 9 the standard should normally be proposed for withdrawal, irrespective of whether any of criteria 2-4 are met. <input type="checkbox"/> <b>Revision</b> [criteria 1, 2b, 3 met – see Note 2] <input type="checkbox"/> <b>Amendment</b> [criteria 1, 2b, 3 met – see Note 2] Note 2: To be determined by the committee secretariat. The choice between revision and amendment is essentially based on an assessment of whether or not the changes are limited (amendment) or if they require the redevelopment the whole document (revision). <input type="checkbox"/> <b>Confirmation</b> [criteria 1, 2c, 3, 4 met] <input type="checkbox"/> <b>Other</b> <input type="checkbox"/> errors have been identified that require a Technical Corrigendum <input type="checkbox"/> no final decision can yet be taken for the following reason(s):					
<b>Further procedures</b> (attribution to TC/SC/WG, Project Leader, development procedure, meetings, etc.) <input type="checkbox"/> The proposed priority for the envisaged amendment/revision is [1 (low) – 5 (high)] <input type="checkbox"/> The proposed amendment/revision is to be registered as a Preliminary Work Item Other:					
<b>Experts</b> (give details below, or as a separate annex)					
<b>Documents to be considered</b> (give details below, or as a separate annex)					
<b>Target date for submission:</b>		as a CD:		as a FDIS:	
		as a DIS:		for publication:	
Secretariat	Date	Signature of the TC or SC Secretary			

☐ **Other information, comments, etc. appended**

## Compilation of the results of systematic review

[illegible]

Abstentions and incomplete votes are not counted

**Total number of points awarded by voting P-members (y):**

**Total of P-members voting (x):**

**Average points per P-member voting (y/x):**



Date	Reference number <b>ISO/TC        /SC        N</b>
Supersedes document	

This document is still under study and subject to change. It should not be used for reference purposes.

ISO/TC	/SC
<p>Title:</p>	
<p>Secretariat:</p>	
<p><b>REQUESTED ACTION</b></p> <p>Circulated to P- and O-members, and to technical committees and organizations in liaison for:</p> <p><input type="checkbox"/> information</p> <p><input type="checkbox"/> discussion at [venue/date of meeting]</p> <p><input type="checkbox"/> comments by [date]</p> <p><input type="checkbox"/> voting (P-members only: ballot form attached) by  [date]</p> <p><i>P-members of the technical committee or subcommittee concerned have an obligation to vote.</i></p>	

*Title:*

*Source:*

*Project(s):*

*Status:*

*Additional information:*



**VOTE ON DRAFT  
TECHNICAL  
SPECIFICATION OR  
TECHNICAL REPORT**

**VOTE ON PROPOSED ISO/DTS or ISO/DTR**

Date of circulation

Reference number

Closing date for voting

**ISO/TC**

**/SC**

**N**

**ISO/TC**

**/SC**

Title

Secretariat

Circulated to P-members of the committee for voting on publication of the draft

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

Please send this form, duly completed, **to the Secretariat indicated above.**

**ISO/DTS or DTR**

Title

☐ **We agree to the publication of the draft**

☐ with comments (editorial or other) appended

☐ **We do not agree to the publication of the draft**

The reasons for our disagreement are the following (use a separate page as annex, if necessary)

☐ **We abstain**

P-member voting

Date

Signature



**WORKING  
DRAFT**

**WORKING DRAFT ISO/WD**

Date

Reference number

**ISO/TC**

**/SC**

**N**

Supersedes document

**WARNING:** This document is not an International Standard. It is distributed for review and comment. It is subject to change without notice and may not be referred to as an International Standard.

ISO/TC	/SC
Title	
Secretariat	
	Circulated to P- and O-members, and to technical committees and organizations in liaison for:  <input type="checkbox"/> information  <input type="checkbox"/> discussion at [venue/date of meeting]  <input type="checkbox"/> comments by [date]  <input type="checkbox"/> approval for registration as a CD in accordance with 2.4.9 of part 1 of the ISO/IEC Directives, by  [date]

*Title (English)*

*Title (French)*

*Source:*

*Project(s):*

*Status:*

*Additional information:*

---

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**VOTE ON DRAFT  
TECHNICAL  
SPECIFICATION OR  
TECHNICAL REPORT**

**VOTE ON PROPOSED ISO/DTS or ISO/DTR**

Date of circulation

Reference number

Closing date for voting

**ISO/TC**

**/SC**

**N**

**ISO/TC**

**/SC**

Title

Secretariat

Circulated to P-members of the committee for voting on publication of the draft

**P-members of the technical committee or subcommittee concerned have an obligation to vote.**

Please send this form, duly completed, **to the Secretariat indicated above.**

**ISO/DTS or DTR**

Title

☐ **We agree to the publication of the draft**

☐ with comments (editorial or other) appended

☐ **We do not agree to the publication of the draft**

The reasons for our disagreement are the following (use a separate page as annex, if necessary)

☐ **We abstain**

P-member voting

Date

Signature





## DISPATCH OF ELECTRONIC FILES

Date:	ISO Document
Secretariat:	ISO/TC /SC
ID <sup>1)</sup> :	Stage:

Please send the completed form (preferably as an electronic file) together with any electronic file to the ISO Central Secretariat. Please complete a separate form for each document.

See also *Provision of text and graphics in machine-readable form to the ISO Central Secretariat*.

<b>Sender</b> Name: Address:  Telephone: Fax: E-mail:	<b>Transmission medium</b> <input type="checkbox"/> Diskette(s) 3,5" (number: ) <input type="checkbox"/> Zip disk <input type="checkbox"/> E-mail <input type="checkbox"/> Jaz disk <input type="checkbox"/> CD-ROM <input type="checkbox"/> Other: <input type="checkbox"/> I confirm that the diskette has been checked for viruses. <b>Compression</b> Software used: , version: <b>Encoding</b> Software used: , version:
---	---

## Files

<b>Text</b> <b>Operating system</b> <input type="checkbox"/> Windows 3.x <input type="checkbox"/> Mac OS, version: <input type="checkbox"/> Windows 95 <input type="checkbox"/> Unix <input type="checkbox"/> Windows NT <input type="checkbox"/> Other: <b>Software</b> <input type="checkbox"/> Word, version: <input type="checkbox"/> WordPerfect, version: <input type="checkbox"/> Other: , version: <b>Template</b> <input type="checkbox"/> ISOSTD, version: <input type="checkbox"/> Other: (copy included <input type="checkbox"/> ) Code page (if not ASCII 850): Fonts included: <input type="checkbox"/> yes <input type="checkbox"/> no	<b>Graphics</b> <b>Operating system</b> <input type="checkbox"/> Windows 3.x <input type="checkbox"/> Mac OS, version: <input type="checkbox"/> Windows 95 <input type="checkbox"/> Unix <input type="checkbox"/> Windows NT <input type="checkbox"/> Other: <b>Software</b> a) Vectorized files <input type="checkbox"/> AutoCAD, version: <input type="checkbox"/> HiCAD, version: <input type="checkbox"/> NesCAD, version: <input type="checkbox"/> PC-Draft, version: <input type="checkbox"/> Illustrator, version: <input type="checkbox"/> CorelDraw, version: <input type="checkbox"/> Other: , version: b) Bitmap files <input type="checkbox"/> Scanned Software: , version: <input type="checkbox"/> Photos Software: , version: Screened <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Other: Software: , version:
<b>Spreadsheet tables and charts</b> <b>Operating system</b> <input type="checkbox"/> Windows 3.x <input type="checkbox"/> Mac OS, version: <input type="checkbox"/> Windows 95 <input type="checkbox"/> Unix <input type="checkbox"/> Windows NT <input type="checkbox"/> Other: <b>Software</b> <input type="checkbox"/> Excel, version: <input type="checkbox"/> Lotus 123, version: <input type="checkbox"/> Other: , version:	

Are the graphics files embedded in the text file?<sup>2)</sup> ☐ yes ☐ no

(continued overleaf)

1) Reserved for use by the ISO Central Secretariat.

2) ISO recommends not to embed the figures and spreadsheet tables and charts in the word processing file.

## Details of files included

Name (with extension)	Format <sup>3)</sup>	Size (bytes)	Date last saved	Author	Anti- virus <sup>4)</sup>	Description <sup>5)</sup>	Registration number <sup>1)</sup>
<i>Example: 12232e.an1</i>	<i>WP 6.0</i>	<i>34576</i>	<i>1998-06-12</i>	<i>BSI</i>	<i>X</i>	<i>Annex A, ISO 12232, E version</i>	
<b>Comments:</b>							

Registration by ISO Central Secretariat<sup>1)</sup>

Date:	Name:
-------	-------

3) To be completed when the file has not been saved in its original format or when its extension does not allow the software used to be determined. For formatted graphics files, indicate "scanned", "vectorized" or provide details.

4) Put a cross if the file has been scanned for viruses; if not, leave blank.

5) If files are split over two or more diskettes, give the serial number of the diskette on which the file is saved.



**MODIFICATION OF THE TITLE AND SCOPE  
OF AN ISO TECHNICAL COMMITTEE  
MODIFICATION DES TITRE ET DOMAINE  
DES TRAVAUX D'UN COMITE TECHNIQUE**

**ISO/TC**

Please complete and return this form to the ISO Central Secretariat  
Veuillez compléter et renvoyer ce formulaire au Secrétariat central

Current title of the TC  
Titre actuel TC

New title of the TC  
Nouveau titre du TC

Current scope of the TC  
Domaine des travaux actuel du TC

Name and signature/Nom et signature  
Secretary of/Secrétaire de l'ISO/TC

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name and signature/Nom et signature  
Chairman of/Président de l'ISO/TC

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date

\_\_\_\_\_

aj/Form Modification of the title and scope of a technical committee.rtf

**Postal address**

Case postale 56  
CH-1211 Genève 20

**Office address**

1, rue de Varembé  
Genève • Switzerland

**Telephone**

national (022) 749 01 11  
international + 41 22 749 01 11

**Telefax** + 41 22 733 34 30

**Telex** 41 22 05 iso ch

**Telegrams** isorganiz

Proposed scope of the TC  
Domaine des travaux proposé du TC

Rationale for the modification  
Justification de la modification

Please attach an additional page if needed/ Veuillez joindre une page supplémentaire si nécessaire

Name and signature/Nom et signature  
Secretary of/Secrétaire de l'ISO/TC

---

---

---

---

---

Name and signature/Nom et signature  
Chairman of/Président de l'ISO/TC

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---

---

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Date

---

aj/Form Modification of the title and scope of a technical committee.rtf

**Postal address**

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international + 41 22 749 01 11

**Telefax** + 41 22 733 34 30

**Telex** 41 22 05 iso ch

**Telegrams** isorganiz



**NOTICE OF MEETING / DRAFT AGENDA  
CONVOCATION / PROJET D'ORDRE DU JOUR**

Date

Reference

ISO/TC

**N**

Title of / Titre du TC/SC

Secretariat / Secrétariat

Host / Invitant

MEETING / RÉUNION

Meeting dates /  
Dates de la réunion

Place / Lieu

Tel. :

Fax :

*P-and O-members are invited to inform the secretariat of the committee concerned, within one month of the receipt of this notice of meeting, of their intention to be represented at the meeting, the approximate number of their delegates and their need for interpretation.*

*Whenever possible, the names of delegates (or observers) and the name of the head of the delegation should also be sent to the secretariat of the committee concerned at least one month before the opening of the meeting.*

*Les membres (P) et (O) sont invités, dans un délai d'un mois à partir de la réception de la présente convocation, à faire connaître au secrétariat du comité concerné leur intention d'être représentés à la réunion, le nombre approximatif de leurs délégués et leur besoin en matière d'interprétation.*

*Dans la mesure du possible, une liste indiquant les noms des délégués (ou observateurs), ainsi que le nom du chef de la délégation, devrait également parvenir au secrétariat concerné un mois au moins avant l'ouverture de la réunion.*

Parallel meeting(s) / Réunion(s) parallèle(s)

**User Notes - Modified fields**

**(to be omitted from circulated agenda)**

1. The above is the basic text of an agenda. There will be occasions when this text needs to be modified/extended. See the following page for texts to use in case of:
  - late distribution of agenda
  - meeting venue not known
  - meeting venue notified later
2. This template is in English and French, which is the preferred option. Nevertheless, where the TC or SC approves, an agenda may be distributed in one language only (see *ISO/IEC Directives, Part 1, 1995: F.4.2*)

**Notes pour l'utilisateur**

**(à supprimer pour les ordres du jour distribués)**

1. Ceci est le texte de base pour un ordre du jour. Il peut être modifié/reformé selon certaines circonstances. Voir Annexe 1 pour les textes à utiliser dans les cas suivants :
  - distribution tardive de l'ordre du jour
  - lieu de la réunion inconnu
  - lieu de la réunion communiqué plus tard
2. Le présent modèle de document est en anglais et en français selon les préférences de la majorité des comités. Toutefois, si le TC ou le SC approuvent, l'ordre du jour peut être distribué en une seule langue. (voir Directives ISO/CEI, *Partie 1, 1995: F.4.2*)

**This page to be omitted from circulated agenda /  
Page à supprimer des ordres du jour distribués**

**User Notes - Modified fields - for use in the cases cited as replacements or enhancements for elements of the basic text**

**Notes de l'utilisateur - Champs modifiés - à utiliser dans les cas cités pour remplacer ou mettre en évidence des éléments du texte de base**

**Agenda circulated late**

Where notification is late (less than 4 months before the meeting date), P-members have the right to demand the postponement of the meeting. Consequently, in such cases the following text should be substituted for the basic text (copy and paste the text blocks).

**Ordre du jour distribué tardivement**

Lorsque la communication du lieu de la réunion est tardive, (moins de 4 mois avant la date de la réunion), les membres P peuvent demander de reporter la réunion. Par conséquent,, dans ce cas, le texte suivant remplace le texte de base (copier coller les paragraphes du texte).

**NOTE:**

Due to the late circulation of this document, the meeting will be held only if no P-member is opposed.

**NOTE :**

Étant donné la distribution tardive de ce document, cette réunion n'aura lieu que si aucun membre (P) ne s'y oppose.

**Meeting venue not known**

Where – to meet the rule for distribution of agendas – not all the details of the meeting location are available, the following text should be substituted for the basic text (copy and paste these text blocks).

**Lieu de la réunion inconnu**

Afin de respecter les règles de la distribution des ordres du jour, si l'information concernant le lieu de la réunion n'est pas complète, le texte suivant remplace le texte de base (copier coller ces paragraphes du texte).

Secretariat / Secrétariat

Host / Invitant

**MEETING / RÉUNION**

Meeting dates /  
Dates de la réunion

Place / Lieu

. The exact address of the meeting place will be communicated later on.

. L'adresse exacte de la réunion sera communiquée ultérieurement.

**Meeting venue confirmed after agenda circulated**

When meeting details are confirmed **after** the agenda is distributed, a second (revised) version or a circular letter should typically be distributed giving the full details.

**Confirmation du lieu de la réunion après distribution de l'ordre du jour**

Lorsque l'information concernant la réunion est confirmée **après** la distribution de l'ordre du jour, une deuxième version (révisée) ou une lettre circulaire doit être distribuée pour fournir tous les détails nécessaires.



## DRAFT AGENDA/PROJET D'ORDRE DU JOUR

**User Notes****(to be omitted from circulated agenda)**

1. The following items maybe used directly as a model for the items to be included on an agenda, after deleting these user notes.
2. Where required – for example as an alternative/additional model – ISO/CS can provide a copy in electronic format (MS Word) of the last agenda on its files.
3. The text following contains fields (for use in MS Word 6) that can aid the completion of the text proposed. To use these fields:
  - make them visible using the command ALT/F9;
  - complete the entry
  - move to the next field using function key F11.

**Notes de l'utilisateur****(à supprimer de l'ordre du jours distribué)**

1. L'Annexe 1 peut être utilisé pour les questions à inclure dans un ordre du jour. L'Annexe 2 peut être utilisé directement en supprimant l'Annexe 1 et les détails fixes de l'Annexe 2..
2. Le Secrétariat Central de l'ISO peut fournir, sur demande, à titre de modèle alternatif ou additionnel, une copie en version électronique (MS Word) du dernier ordre du jour enregistré dans ses dossiers.
3. Le texte suivant contient des champs (à utiliser dans MS Word 6) qui peuvent compléter le texte proposé. Pour utiliser ces champs :
  - les rendre visibles avec la touche ALT/F9;
  - insérer l'information
  - passer au champ suivant en utilisant la touche F11.

Opening of the meeting ()

Roll call of delegates

Election of the Chairman

Adoption of the agenda

Doc. ISO/TC N

Appointment of the drafting committee

Report of the Secretariat

Ouverture de la réunion ()

Appel des délégués

Élection du président

Adoption de l'ordre du jour

Désignation du comité de rédaction

Rapport du secrétariat

Status of all items of the programme of work and action to be taken

Follow-up on work

- .1 Confirmation or withdrawal of items on which no progress has been made
- .2 Up-date target dates for work in progress

Work items on which no progress is being made - Status and action to be taken

Items for future work

Statut de toute question inscrite au programme de travail et suite à donner

Suivi des travaux

- .1 Confirmation ou suppression de questions pour lesquelles aucun progrès n'a été accompli
- .2 Mise à jour des dates cibles pour les travaux en progrès

Questions restées sans progrès - Statut et suite à donner

Questions pour les travaux futurs

Requirements concerning a subsequent meeting

Any other business

Approval of resolutions

Closure of the meeting ()

---

\* To be circulated

Conditions requises pour la prochaine réunion

Divers

Approbation des résolutions

Clôture de la réunion ()

---

\* A distribuer ultérieurement

---



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Web www.iso.ch

WG CONVENER/PROJECT LEADER

ANIMATEUR GT/CHEF DE PROJET



Your ref. ISO/TC  
Our ref.

Date 2001-06-13

Please complete and return this form to the Central Secretariat as soon as possible  
Veuillez compléter et renvoyer ce formulaire au Secrétariat central le plus tôt possible

Mr./Mrs./M./Mme  
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ISO Central Secretariat

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Present post/Poste actuel

Present or former activities relevant to the work of the TC concerned/Activités actuelles ou antérieures en rapport avec le TC concerné

Articles or books in the field of the TC concerned of which the chairman is the author/Articles ou publications dont le président est l'auteur dans le domaine du TC concerné

Other relevant training and experience, e.g. training in ISO/IEC Directives, experience in chairing meetings/Autres formation et expérience pertinentes, telles que formation dans le domaine des Directives ISO/CEI, expérience dans la présidence de réunions

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